



UTAH DEPARTMENT OF
COMMUNITY
AND **CULTURE**

EMPLOYEE HANDBOOK

Updated MARCH 25, 2008

TABLE OF CONTENTS

<i>Welcome Message.....</i>	<i>4</i>
<i>Introduction.....</i>	<i>5</i>
<i>Mission Statement/Core Values.....</i>	<i>6</i>
<i>Standards for Professional Development.....</i>	<i>7</i>
<i>DCC Organizational Chart.....</i>	<i>9</i>
<i>Administrative Staff.....</i>	<i>10</i>
<i>Division Directors/ Operational Units</i>	
<i>Division of Arts and Museums.....</i>	<i>14</i>
<i>Division of Arts and Museums Organizational Chart.....</i>	<i>15</i>
<i>Division of State History.....</i>	<i>16</i>
<i>Division of State History Organizational Chart.....</i>	<i>17</i>
<i>Division of Housing and Community Development.....</i>	<i>18</i>
<i>Division of Housing and Community Development Organizational Chart.....</i>	<i>20</i>
<i>Division of Indian Affairs.....</i>	<i>21</i>
<i>Division of Indian Affairs Organizational Chart.....</i>	<i>22</i>
<i>Division of State Library.....</i>	<i>23</i>
<i>Division of State Library Organizational Chart.....</i>	<i>26</i>
<i>Office of Ethnic Affairs.....</i>	<i>27</i>
<i>Office of Ethnic Affairs Organizational Chart.....</i>	<i>28</i>
<i>What Can I Expect as a New Employee?.....</i>	<i>29</i>
<i>Downtown Map.....</i>	<i>31</i>
<i>Floor Plan Map With Emergency Exits Listed.....</i>	<i>32</i>
<i>Benefit Information.....</i>	<i>33</i>
 <i>POLICIES—DHRM & DEPARTMENT</i>	
<i>Administrative Salary Increase.....</i>	<i>35</i>
<i>Agency Retreats and Conference Accommodations.....</i>	<i>36</i>
<i>Alternative Work Schedules.....</i>	<i>37</i>
<i>Americans with Disabilities (ADA).....</i>	<i>39</i>
<i>Career Ladder/Mobility Program.....</i>	<i>43</i>
<i>Cash Receipts, Depositing and Recording.....</i>	<i>45</i>
<i>Cellular Telephone Policy and Procedures.....</i>	<i>46</i>
<i>Corporate Cards.....</i>	<i>50</i>
<i>Corrective Action.....</i>	<i>56</i>
<i>Discipline.....</i>	<i>57</i>
<i>Dress Code/Dress Down Friday Guidelines.....</i>	<i>61</i>
<i>Education Assistance.....</i>	<i>62</i>
<i>Ethics Acts and Conflicts of Interest.....</i>	<i>65</i>
<i>Exercise and Health Activity.....</i>	<i>68</i>
<i>Exit Interview.....</i>	<i>70</i>
<i>Fair Employment Opportunity.....</i>	<i>74</i>
<i>Federal Medical Leave Act (FMLA).....</i>	<i>75</i>
<i>Fleet Policy and Procedure.....</i>	<i>77</i>
<i>Fraud and Theft.....</i>	<i>79</i>
<i>Governor’s Office Email Policy.....</i>	<i>82</i>

<i>Governor’s Office Gift Policy</i>	83
<i>Governmental Records Access and Management Act (GRAMA)</i>	84
<i>Group Gatherings</i>	86
<i>Hand-Held Devices</i>	89
<i>Identification Cards</i>	91
<i>Inclement Weather</i>	92
<i>Incentive Program</i>	93
<i>Information Technology Acceptable Use</i>	97
<i>Information Technology Central Pool Purchasing</i>	99
<i>Media Communications</i>	100
<i>Moonlighting</i>	101
<i>Open Flames</i>	102
<i>Overtime and Compensatory Time Policy</i>	103
<i>Pay Period/ Holidays</i>	105
<i>Performance Management and Development Guidelines</i>	107
<i>Petty Cash</i>	119
<i>Procurement Approvals</i>	120
<i>Productivity Step Adjustment</i>	122
<i>Sick Leave Assistance Program</i>	123
<i>Substance Abuse</i>	125
<i>Travel Rules</i>	126
<i>Unlawful Harassment Policy and Complaint Procedure</i>	131
<i>Violence in the Workplace</i>	133
<i>Volunteer Service</i>	134
<i>Worker’s Compensation</i>	135
<i>Work Time, Lunch and Break Schedules</i>	136
 <i>IT USE POLICIES—DEPARTMENT OF TECHNOLOGY SERVICES (DTS)</i>	
<i>Acceptable Use of Information Technology Resources</i>	137
<i>Software/Hardware Acquisition and Use Policy</i>	139
<i>DCC Password/Security Policy</i>	143
<i>Telecommuting</i>	147
 <i>Glossary of Terms</i>	 150

EXECUTIVE DIRECTOR'S MESSAGE



PALMER DEPAULIS
EXECUTIVE DIRECTOR

Dear Employee,

Welcome to the Utah Department of Community and Culture (DCC). We are one of the most dynamic, diverse departments in Utah State government. Staffed by dedicated and energetic employees, our department has six unique divisions: the Division of Arts and Museums, the Division of State History, the Division of Housing and Community Development, the Division of Indian Affairs, the Division of State Library, and the Office of Ethnic Affairs. Our divisions oversee almost 30 boards and commissions and include more than 200 employees.

We value our employees and want your DCC employment experience to be rewarding. This handbook will provide you with information about DCC's organization, policies and procedures. We hope it proves a useful resource during your time at DCC.

Again, welcome to our team and best wishes for your success at the Department of Community and Culture!

Sincerely,

A handwritten signature in blue ink that reads "Palmer DePaulis".

Palmer DePaulis
Executive Director
Community and Culture

INTRODUCTION

The Department of Community and Culture (DCC) has developed this “Employee Handbook” as a tool to provide you with information regarding the Department’s authority, mission and organizational structure.

It gives you an introduction to the Department’s administrative team and their respective responsibilities and functions. The Department’s six Divisions are also outlined in this handbook, along with their various programs and resources.

In addition, DCC strives to provide you with tools to assist you in becoming a better employee, including career development opportunities, departmental policies and procedures, Department of Human Resource Management (DHRM) assistance, Division of Finance Rules and other guidelines mandated by the State of Utah.

You will be provided a copy of this handbook at the time of hire through the New Hire Orientation or you have been provided electronic access upon the release of revised and/or updated policies. You will be required to sign a document indicating you received the handbook and were informed of contents within this document.

Disclaimer:

This document is not intended to identify all of the guidelines that are governed by the State of Utah. For comprehensive employee guidelines, please visit DHRM’s website: <http://www.dhrm.utah.gov/>.

MISSION STATEMENT

To enhance the quality of life for people of Utah, DCC creates, preserves and promotes community and cultural infrastructure.

VISION STATEMENT

DCC will be a dynamic catalyst for creating cultural change. We will anticipate and respond to the varied needs of our constituents. We will expand public and private partnerships to deliver tangible results that produce meaningful differences in the lives of Utahns.

DEPARTMENT GOALS

DCC will invest in employees to create and retain a highly productive and talented workforce.

DCC will create and execute a strategic communications plan to heighten awareness about the Department.

DCC will seek and maintain strategic partnerships.

DCC will maximize the efficient use of resources.

DCC will create and execute a long-range strategic plan, emphasizing measurable outcomes.

STANDARDS FOR PROFESSIONAL PERFORMANCE

In accordance with the following Professional Performance Standards, all Department of Community and Culture staff:

Customer Service:

- Demonstrate concern for and interest in constituent needs.
- Maintain a positive attitude in dealing with customers, partners and constituents.
- Respond to phone calls and e-mail within 24 hours of receipt.
- Build and maintain effective, professional relationships with colleagues and other associates.
- Identify problems and offer solutions to improve customer service and programs.
- Present a professional image in dress and conduct to promote public and partner confidence.

Communication:

- Employ honest, thoughtful interpersonal communication.
- Provide timely and comprehensive assignment status reports to management.
- Maintain good working relationships by providing open, honest, timely and respectful feedback to colleagues and supervisors.
- Actively participate in team meetings, provide input for assignment distribution and define organizational goals.

Teamwork:

- Participate as a team player and promote teamwork through support of co-workers and management.
- Maintain a positive attitude about team members and assignments; value the individual.
- Demonstrate dependability by adhering to established work schedule, arranging with colleagues to cover assignments when absent and covering for colleagues in their absence.
- Support management team decisions and keep management informed.
- Promote a work environment that enables DCC to attract, retain and fully engage diverse talent and achieve innovation and creativity in our service delivery.

Productivity:

- Work within identified division standards and timelines.
- Meet customer expectations and improve organizational outcome measures.
- Promote new ideas/suggestions to increase effectiveness and efficiency.

Initiative:

- Are willing to learn new skills and attempt new things.
- Suggest new ideas or improvements.
- Identify problems and suggest solutions.

Resources:

- Respect the public trust placed in each employee as a steward for state financial, cultural and com-

munity resources.

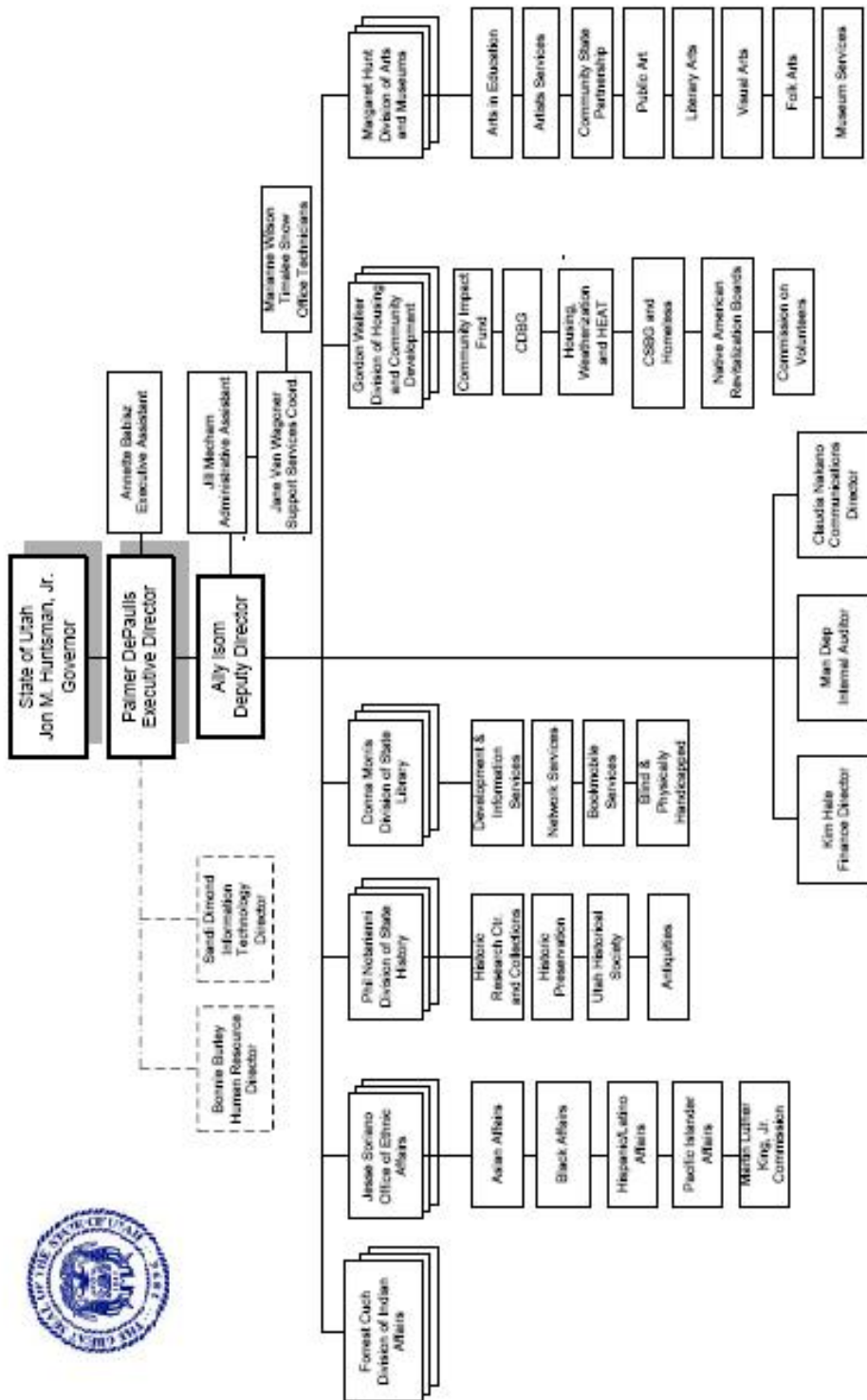
- Protect DCC resources from waste, fraud, neglect or abuse.

Integrity:

- Obey the law, demonstrate honesty and fairness, promote responsible behavior.
- Avoid participation in any activity or decision which presents a real, potential or apparent conflict with the performance of their duties.
- Avoid words, phrases, actions, statements or questions which would or could be perceived to demonstrate bias or prejudice against an individual or group, based on race, national origin, gender, religion, sexual orientation or other personal abilities, characteristics or beliefs.
- Respect the right of individuals to privacy and preserve the confidentiality of any information acquired through their public office, unless authorized or required to release it.

DCC ORGANIZATIONAL CHART

UTAH DEPARTMENT OF COMMUNITY AND CULTURE
August - 2007



ADMINISTRATIVE STAFF

ALLY ISOM DEPUTY DIRECTOR



The Deputy Director assists the Executive Director in coordinating the administrative team and overseeing employee management, strategic planning, budget development, legal issues, and legislative needs. In the Executive Director's absence, the Deputy Director is designated to represent the Department for various meetings and official events. As the Department's legislative liaison, the Deputy Director is also responsible for the Department's legislative action plan, bill-tracking, legislative relationships and legislative protocol. The Deputy Director chairs the Cultural Heritage Council, an interdisciplinary committee whose primary objective is to facilitate cultural resources and partnerships which enable cultural and heritage tourism statewide. Furthermore, at the Executive Director's discretion, the Deputy Director manages special assignments, including administrative rules review, policy development, reports, project supervision, conflict resolution and other duties as assigned.

CLAUDIA NAKANO COMMUNICATIONS DIRECTOR

The Communications Director manages the Department's activities related to public relations and media communications. This includes promoting a brand and image for the Department; providing direction to a communications team; directing the production of promotional, educational and informative materials (i.e., annual report, presentations, legislative information); and maximizing media opportunities to promote the messages of the Department's six divisions. The communications director facilitates responses to media queries, schedules interviews and coordinates media news conferences. In addition, the communications director serves as the Department's liaison to the Governor's Office and interacts with the administrative team, division directors and other state public information officers to ensure a cohesive message for the Department and the state of Utah.



KIMBAL HALE

FINANCE DIRECTOR



The Finance Director is responsible for all budgeting and accounting operations in the Department and advises the Executive Director on all financial matters. Annually, he is responsible for preparing and submitting the budget to the Governor's Office of Planning and Budget, assisting senior department management with budget matters during the legislative process, and serving as the liaison with the Legislative Fiscal Analyst to resolve issues and answer questions during the state legislative session. He is also responsible for the annual budget execution and oversees all division financial officers and procedures.

MAN DIEP

INTERNAL AUDITOR

The Internal Auditor is responsible for reviewing all processes and functions in the Department including, but not limited to, financial, operational and data. She assesses risk and helps senior department management maintain good internal controls to prevent fraud, ensure policy and standard compliance, safeguard state assets, and ensure resources are used efficiently. She also serves as the external audit liaison for the Department.



ANNETTE BABISZ
EXECUTIVE ASSISTANT

The executive assistant provides support to the Executive Director and serves as our department's liaison with the Governor's Office. This includes preparing weekly and monthly reports, coordinating constituent services, and facilitating GRAMA responses. In addition, the executive assistant also coordinates the Department's balanced score card and emergency preparedness initiatives, and serves as staff support for the IT Council and the Alternative Dispute Resolution Council.



JILL MECHAM
ADMINISTRATIVE ASSISTANT

The Administrative Assistant provide support to members of the administrative team. This includes assisting the Deputy Director, Communications Director, Information Technology Director, and the Finance Director. In addition, the Administrative Assistant Director also supervises the front desk and coordinates a variety of special projects that include the Cultural Heritage Council, Legislative tours, and a variety of other social activities sponsored by the Department's Divisions.

SANDI DIMOND
INFORMATION TECHNOLOGY DIRECTOR, DTS

As part of the Department of Technology Services, the Information Technology Team is responsible for providing centralized automated information processing, telecommunications, and network services to all divisions within the Department of Community and Culture. Information Technology provides project management, application planning, design and development support for the enhancement of existing systems, as well as for the development and implementation of new systems. Customer support services include: help desk support, software and hardware, maintenance, training and desktop services.





BONNIE BURLEY
HUMAN RESOURCE DIRECTOR, DHRM

The DCC Human Resource Director collaborates with other human resource administrators and with the Department of Human Resource Management to ensure personnel procedures are followed. The Human Resource Director also consults with directors, coaches managers and supervisors, encourages employees to seek additional training to enhance their career opportunities, and provides information regarding educational options provided by state government.

The DCC Human Resource Office functions within the Department of Human Resource Management (DHRM). HR staff services are contracted to DCC through Direct Services.

Human Resource services include:

- Career enhancement
- Employee relations
- Training
- Policy development and administration
- Coaching and mentoring
- New employee orientation
- Recruitment and selection

ANITA QUIBELL
HUMAN RESOURCE TECHNICIAN, DHRM

The Human Resource Technician provides employees information regarding employment benefits and other related resources. Other services include file maintenance, data entry, payroll, address or benefit changes, work-related injuries, retirement concerns, recruitment and selection.



DIVISION OF ARTS & MUSEUMS

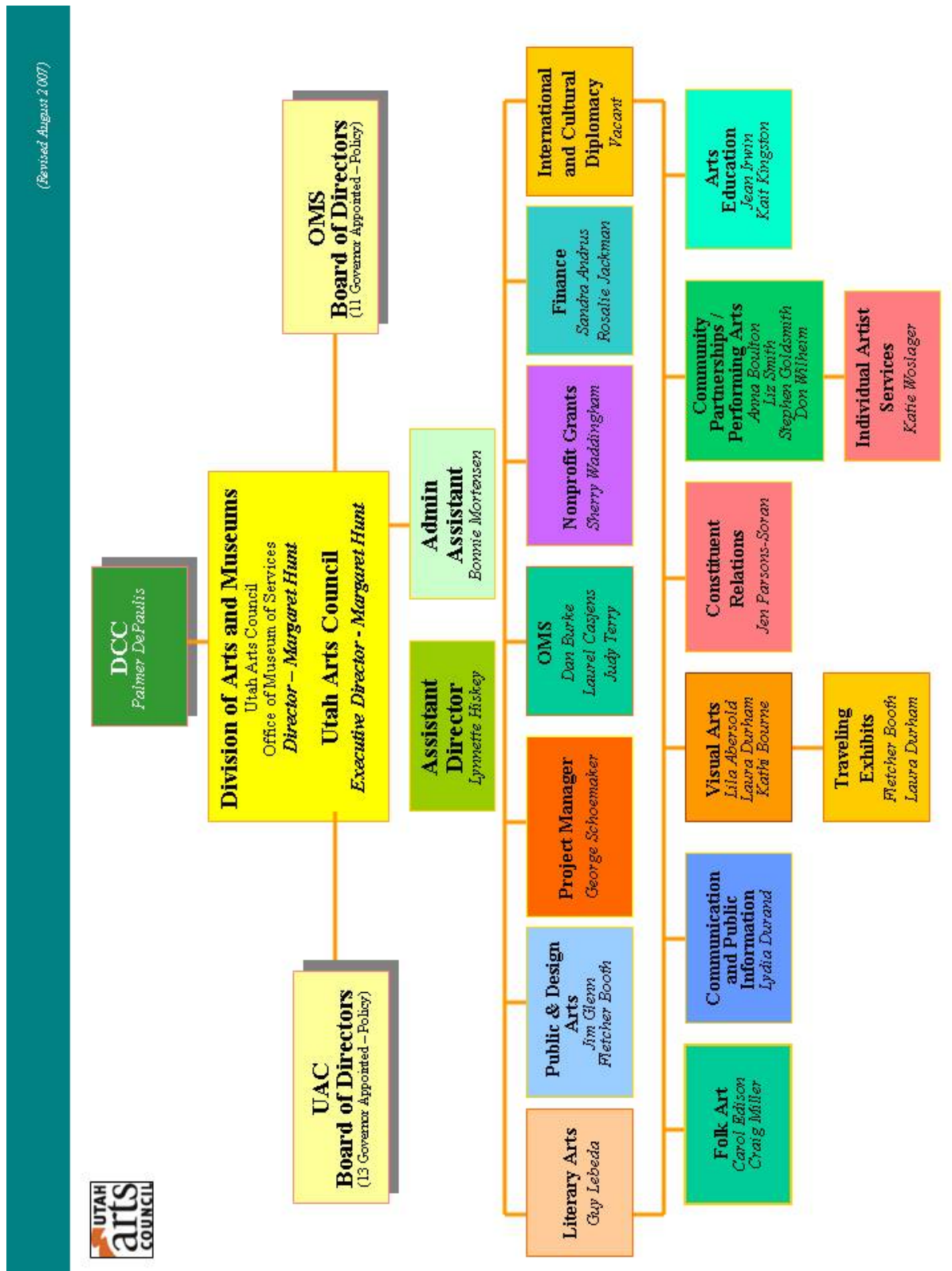
MARGARET HUNT DIVISION DIRECTOR



The Division of Arts & Museums strives to foster creativity, enrich Utah's quality of life, and strengthen communities. To do so, the division provides resources to communities throughout the State and operates the following programs:

- *Artist Services*—Provides grants to individual artists.
- *Arts Education*—Partners with and conducts workshops with 40 school districts throughout the state as well as non-profit organizations.
- *Community Partnerships*—Provides professional development and technical assistance to arts and cultural organizations through training workshops and board retreats.
- *Design Arts*—Promotes excellence in the diverse fields of design in Utah. The program strives to help the citizens of Utah see, experience, use and value the art of design that surrounds us every day.
- *Folk Arts*—Documents traditional arts and artists, produces exhibits, festivals, concerts and educational products; administers grants to encourage the perpetuation of traditional skills and artistry.
- *Grants*—Supports arts projects of non-profit organizations throughout Utah.
- *Literature*—Distributes grants, awards and other funding.
- *Museum Services*—Office of Museum Services (OMS) promotes Utah museums and the essential role they play in our state as sources of community pride, centers of public education, and institutions that encourage economic development and tourism. To help museums fulfill their mission, OMS offers technical assistance, professional training, and a grants program.
- *Public Art*—Commissions artists nationwide to create site-specific art in and around the public spaces of state facilities throughout Utah.
- *Traveling Exhibitions*—A collaborative partnership with museums, colleges, university and community galleries, arts and cultural centers, libraries, colleges and schools.
- *Visual Arts*—Preserves and promotes Utah's artistic heritage through the collection, documentation, and exhibition of the Utah State Fine Arts Collection, as well as through administration of arts competitions, exhibitions, and fellowships.

ARTS & MUSEUMS ORGANIZATIONAL CHART



DIVISION OF STATE HISTORY

PHILIP F. NOTARIANNI **DIVISION DIRECTOR**



The Division of State History strives to make Utah's past a vital part of the present. Division objectives are achieved through a strategic plan. Our programs are tied directly to that plan, which emphasizes websites, databases, collections and holdings, affiliates and partners, climate and culture, and lifelong learning.

Antiquities: Responsible for promoting research, studies, and activities in the field of antiquities and to assist with the marking, protection, and preservation of sites. The Antiquities program is responsible for dealing with ancient human remains found on state and private lands in Utah. It also maintains comprehensive records of the archaeological resources of the state, including databases, geographic information systems, and paper records. These records of over 150,000 archaeological sites and reports are used extensively by state and federal agencies, consultants, and developers in meeting their cultural resources management responsibilities.

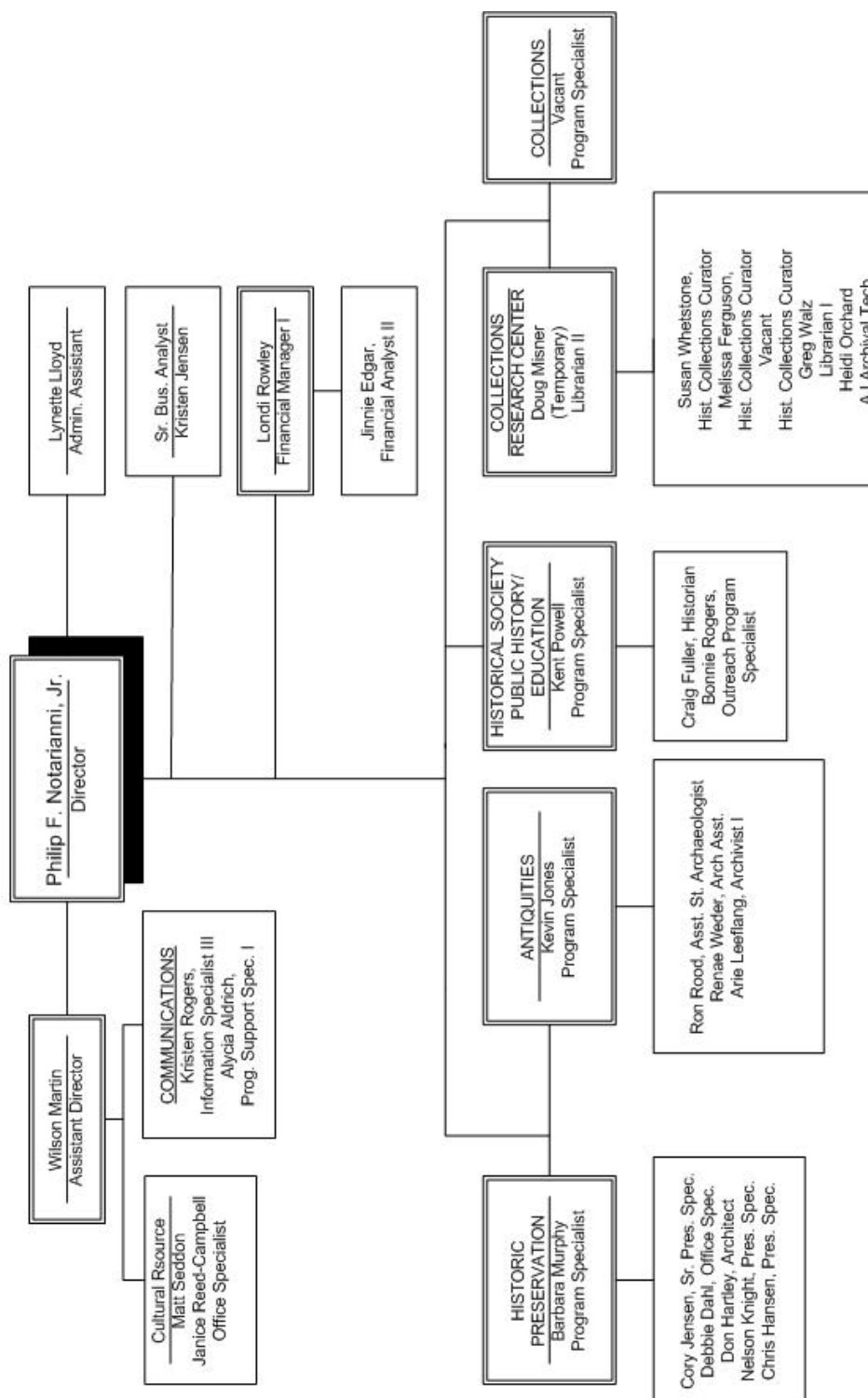
Collections and Research Center: Stimulates and facilitates Utah history research by collecting and preserving historical materials and artifacts, and through the maintenance of a specialized Utah history collection. The Research Center, operated jointly with the Division of State Archives, provides public access to historical collections and government records through on-site visits, mail, e-mail, telephone inquiries, and the Internet.

Communications: Provides division-wide services including, web site development, and public and media relations.

State Historic Preservation Office: Helps our state's citizens and communities identify, evaluate, protect, and preserve historic properties for future generations. The Historic Preservation Office provides a broad range of services including listing properties in the National Register of Historic Places, state and federal tax credits, small grants to Certified Local Governments, environmental reviews, a database containing more than 100,000 historic sites, educational guidance, and technical information in support of this mission. Our diverse partners include local governments, federal agencies, tribes, and non-profit organizations.

Historical Society, Public History, and Education: The Utah State Historical Society encourages the research, study, and publication of Utah history, and publishes the *Utah Historical Quarterly*. The Oral History and Community History programs provide grants and technical assistance to history organizations and communities throughout the state. People learn about and enjoy Utah history through tours, presentations, awards, and exhibits at the Annual Utah State History Conference. Students receive special instruction in Utah history and archaeology through interactions with teaching kits and staff presentations.

STATE HISTORY ORGANIZATIONAL CHART



DIVISION OF HOUSING & COMMUNITY DEVELOPMENT

GORDON D. WALKER **DIVISION DIRECTOR**

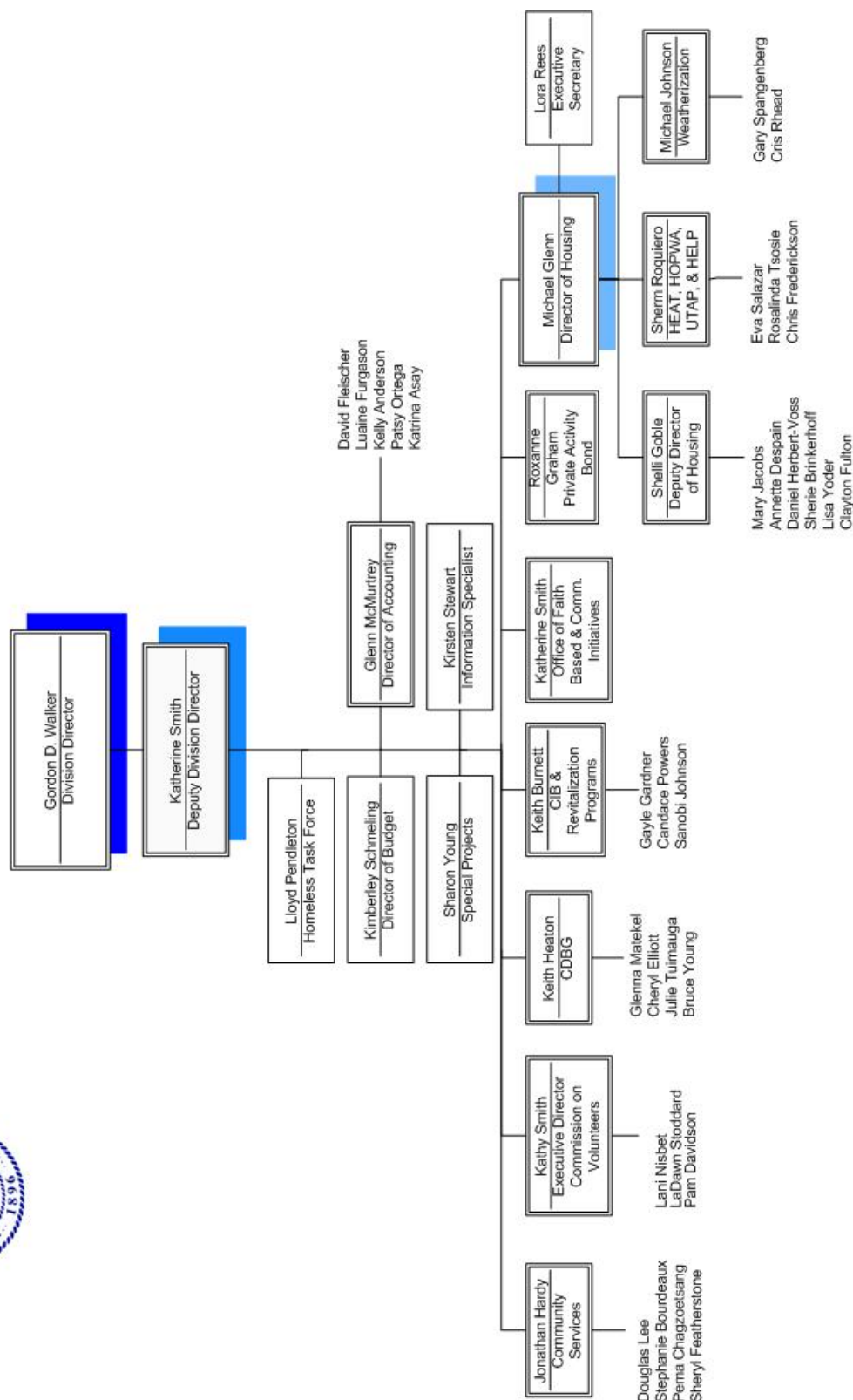


The Division of Housing and Community Development's mission is to host the State's efforts to help local governments, organizations and individuals create and maintain public infrastructures, facilities, services, housing and community development, thus enhancing the quality of life for all Utahns.

Division programs include:

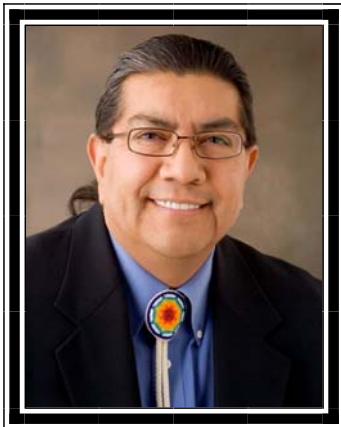
- *Rural Self Help Program*—Provides mortgages to groups of six to seven households that work together to contribute labor toward their new homes.
- *Multi-Family Program* —Provides funding for acquisition, new construction, and rehabilitation of affordable rental housing.
- *Non-Rental Special Needs Housing Program* —Support shelter group homes, transition, and supportive housing.
- *Rural Single Family Rehabilitation and Reconstruction Program* — Provides loans and grants managed by local agencies to improve dilapidated and deteriorating housing units.
- *Home Choice Program* —Supports mortgages for low-income disabled persons.
- *American Dream Down Payment Assistance Program*—Assists first time homebuyers with loans for down payments up to \$2,000.
- *Community Development Block Grants*—Assists communities by providing housing and economic development opportunities, principally for persons of low-and moderate-income.
- *State Community Services Office*—Provides guidance, oversight and funding to agencies statewide, helping individuals to become more self-sufficient.
- *HEAT-HOME Energy Assistance Program*—Provides home energy assistance to Utah's low-income residents.
- *Weatherization Assistance Program*—Helps low-income households, particularly those with elderly and disabled residents and families with pre-school children, to participate in energy-conservation programs.

- *HOPWA—Housing Opportunities for Persons with HIV/AIDS*—Provides housing stability assistance and support services.
- *Permanent Community Impact Fund Board*—Provides grants and/or loans to subdivisions of the state, directly or indirectly, through mineral resource lease royalties returned to the State by the federal government.
- *Rural Development Fund*—Provides grants to local governmental entities in south-central Utah impacted by the transfer of lands to the control of the Utah School and Instructional Trust Lands Administration by the federal government in 1998.
- *Navajo Revitalization Fund*—Authorizes grants and/or loans to the Navajo Nation, directly or indirectly, through mineral resource development.
- *Uintah Basin Revitalization Fund*—May authorize grants and/or loans to agencies of Duchesne County, Uintah County or the Ute Indian Tribe through development of oil gas interests held in trust for the Ute Indian Tribe.
- *Rural Electronic Commerce Communications System Fund*—Provides grants for programs or projects, which preserve or promotes communications systems within the rural areas of the state.
- *The Utah Commission on Volunteers*—Administers and coordinates Citizen Corps and the Corporation for National and Community Service Programs, oversees America's Promise efforts and provides technical support to Utah's Volunteer Centers.



DIVISION OF INDIAN AFFAIRS

FORREST CUCH **DIVISION DIRECTOR**



The Utah Division of Indian Affairs (UDIA) was created in 1953 when the Utah State Legislature passed the “Indian Affairs Act.”

Division responsibilities include:

- Serve as a liaison and promote positive intergovernmental relations with and between Utah Indian Tribes (Goshute, Navajo, Paiute, Shoshone, Ute), Office of the Governor, federal and state agencies and local entities.
- Coordinate with the Governor’s office to address American Indian issues and develop policies.
- Coordinate with the Native American Legislative Liaison Committee to develop American Indian legislation and address American Indian issues.
- Work closely with the Native American Remains Review Committee to determine disposition of human remains found on state or school trust lands.
- Monitor Utah and Federal Indian legislation which impacts Utah Indian tribes.
- Develop programs and services, provide alternatives and implement solutions that will allow American Indian citizens an opportunity to share in the progress of the state of Utah.
- Oversee the Utah American Indian Housing Advisory Board.

INDIAN AFFAIRS ORGANIZATIONAL CHART

Division of Indian Affairs

Forrest Cuch
Director

Amanda Young
Executive Secretary

Rebecca Nelson
Research Analyst



DIVISION OF STATE LIBRARY

DONNA JONES MORRIS

DIVISION DIRECTOR/STATE LIBRARIAN



The Utah State Library (USL) mission is to develop, advance and promote library services and access to information. To accomplish that mission, USL provides services and training to the library community through resources, professional expertise and grants. Further, USL strives to keep its services relevant and effective by assessing needs, planning responses, and evaluating results in a dynamic cycle.

Services to the Blind and Disabled

These services are available to Utah residents of all ages who are blind, visually impaired, physically disabled, or learning disabled. **Materials are available free in Braille, on tape, and in large-type books.** Patrons are also eligible for the Radio Reading Service. The Division of Services

for the Blind and Visually Impaired of the State Office of Education is located in the same building, and cooperates with USL in providing needed resources to those with no or low vision. In addition, USL contracts with 20 states to provide Braille materials, and with the Library of Congress' National Library Service to provide Braille and audio materials to twenty other U.S. states

Bookmobile Service to Rural Utah

USL provides **quality library service** to 221,988 Utahns in 19 counties through 14 Bookmobiles. These counties contract with USL to provide a level of library service comparable to those areas with locally run fixed-site libraries, including Inter-Library Loan and access to the Public Pioneer databases. Bookmobiles provide essential support and supplement inadequate school library collections with resources. Bookmobiles also serve many small rural communities such as Oljato, Teasdale, Eureka, Bicknell, Vernon, Dutch John, Manila, East Carbon, Enoch, Benjamin, Goshen, Perry, Naf, Mona, Fielding, Grantsville, and many other towns and byways across the state.

Support for Utah's Smaller Public Libraries

Utah's smaller public libraries, primarily located in rural areas, struggle to meet the same demands imposed by citizens on larger public library systems. USL helps in meet those demands. **InterLibrary Loan** gives library patrons access to a wide variety of materials not available at their local library. **Reference Service** is available to respond to requests for information from these libraries as well as from users of the State Search Engine (<http://search.utah.gov>). **Cataloging Assistance** is available through our CatExpress project that allows small libraries to catalog materials with the same quality as that of larger libraries. **Training** is provided on all these services (see separate training section). **Summer Reading Programs** coordinated by USL, to provide public libraries with a valuable tool to encourage improved literacy among students. The **Spanish Language Outreach Project** provides training and funding for library services to Spanish-speaking communities.

State Publications & Government Information

USL is required by statute to collect, preserve and disseminate government information and manage the state's **Depository Library System**. Traditionally, this applied to print publications, but increasingly these publications are taking the form of electronic documents. USL is developing a **Digital Library** to provide permanent online access to state publications. USL assists DTS in evaluating and improving the **State Search Engine** (<http://search.utah.gov>) and provides the **Live Help** reference service to its users. USL **trains state agencies** to make their online information more retrievable using search engines, and it trains agencies on submitting publications electronically. (See separate training section.)

Online Information Resources

USL is the home for Public **Pioneer** (<http://pioneer.utah.gov>) a resource that provides Utah citizens with information not available on the "free" Internet, including full-text magazines and newspapers, business resources, genealogy and even auto repair. USL partners with the Utah Education Network and Utah's Academic Libraries to provide additional resources statewide. **Training** is provided for library staff members and government entities including the Utah Legislature in the use of these databases (see separate training section).

Library Services for State Agency and other Government Libraries

USL's **online catalog facilities** are primarily used to provide materials to smaller public libraries (see above) but are also shared with other agencies, to provide their libraries with an online interface and easily accessible and retrievable materials. This service, provided at cost to the agencies, provides efficiencies of scale and increases access to their materials. Cooperation agreements are currently held with the State Law Library, the Department of Transportation and State History.

Training

USL provides a slate of training opportunities ranging from **computer applications** to instruction on **the Pioneer databases**, from how to work with **Utah's Spanish speaking community** to **grant writing to public library strategic planning**. **UPLIFT Workshops** provide professional library development training to help staff and directors at smaller libraries maintain and upgrade their library skills. **Library Board Workshops** provide instruction on how to be an effective board member. **New Director Orientation** provides new library directors, particularly those from small libraries, a chance to learn the ropes and find out about USL services.

Grants and Funding

The Library Services and Technology Act (LSTA) Competitive Grant Program supports information technology services, digitization, and services for underserved populations for Utah's school, public, academic, special, and institutional libraries. LSTA also provides funding for statewide services such as Public Pioneer, statewide summer reading program for children and teens, bookmobile services, and Spanish Language Grants. LSTA is administered by the Institute of Museum and Library Services (IMLS) in Washington, D.C. and the USL is required to submit a Five Year plan that delineates how our programs support the goals of LSTA. The goals of LSTA are: **expand services for learning and access to information in a variety of formats; develop library services that provide all users access to information through electronic networks; provide electronic and other linkages among all types of li-**

braries; develop public and private partnerships; target library services to individuals of diverse geographic, cultural and socioeconomic backgrounds; and target library and information services to persons having difficulty using a library and to underserved urban and rural communities. In addition, USL provides Community Library Enhancement Funds (CLEF) to enhance services in public libraries across the state.

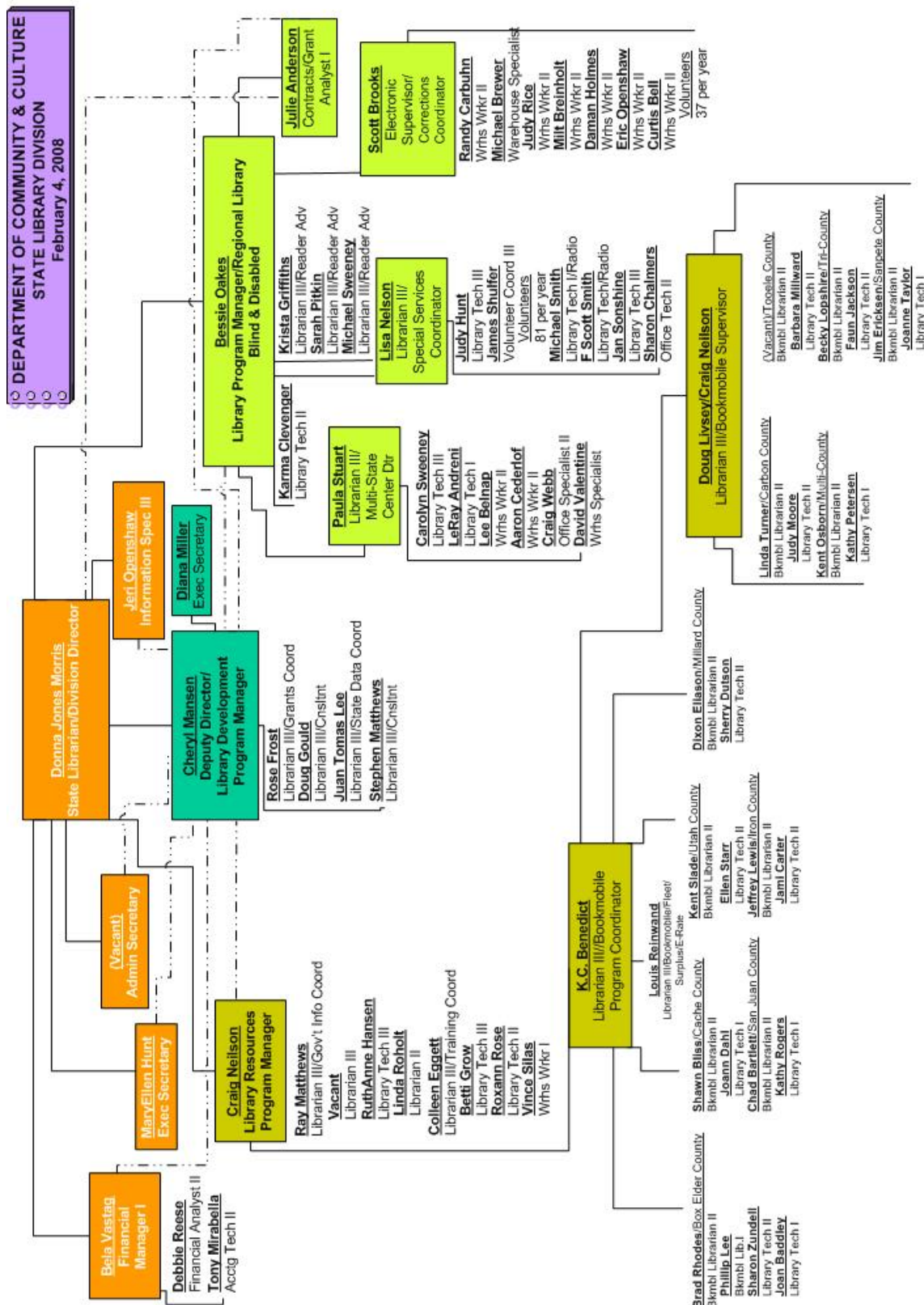
Consulting Services

USL provides advice and assistance for public library directors and staff across the state that includes: technology development, grants and funding (including E-Rate, the federal program to provide discounts for internet services), library legal issues, collection development, library governance and training. USL's **Certification Program** provides library standards of service for those libraries that wish to receive state and federal grants. USL annually collects and disseminates **library management data for 72 library jurisdictions**, equipping librarians, library board members, and local officials to effectively plan and evaluate their library services.

USL Meeting Room Scheduling

USL schedules meeting rooms within the library building for outside state agencies. Attendees average just over one-thousand per month. Staff members reserve and prepare facilities and make sure everything is in place and in working order for clientele. There is no charge for meeting room services but staff time and resources are allocated to ensure quality meeting spaces.

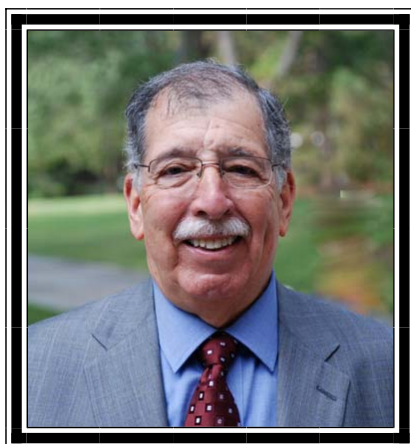
STATE LIBRARY ORGANIZATIONAL CHART



USL has 73 FTE's which can vary.

OFFICE OF ETHNIC AFFAIRS

JESSE SORIANO DIVISION DIRECTOR



Mission: To ensure Utah state government adequately meets the needs of Utah's ethnic community.

The Office of Ethnic Affairs (OEA) promotes institutional change by partnering with state agencies to assure equity and access to culturally- competent programs and services; to review their policies, practices, procedures; and to ensure proper delivery of state services and resources to ethnic communities.

The OEA director oversees four directors who represent the Asian, Black, Hispanic/Latino and Pacific Islander communities. Other staff members include project coordinator, community outreach coordinator and three administrative staff.

OEA coordinates projects and events targeted at improving the quality of state services and outreach to the ethnic community through partnerships with other state agencies. Both office and community events and announcements are publicized through regular e-mail notifications to community partners.

OEA conducts analysis of ethnic data and legislative issues, and provides fact sheets regarding Utah's ethnic communities. The Office also provides access to reports about Utah's minority population prepared by other departments or organizations.

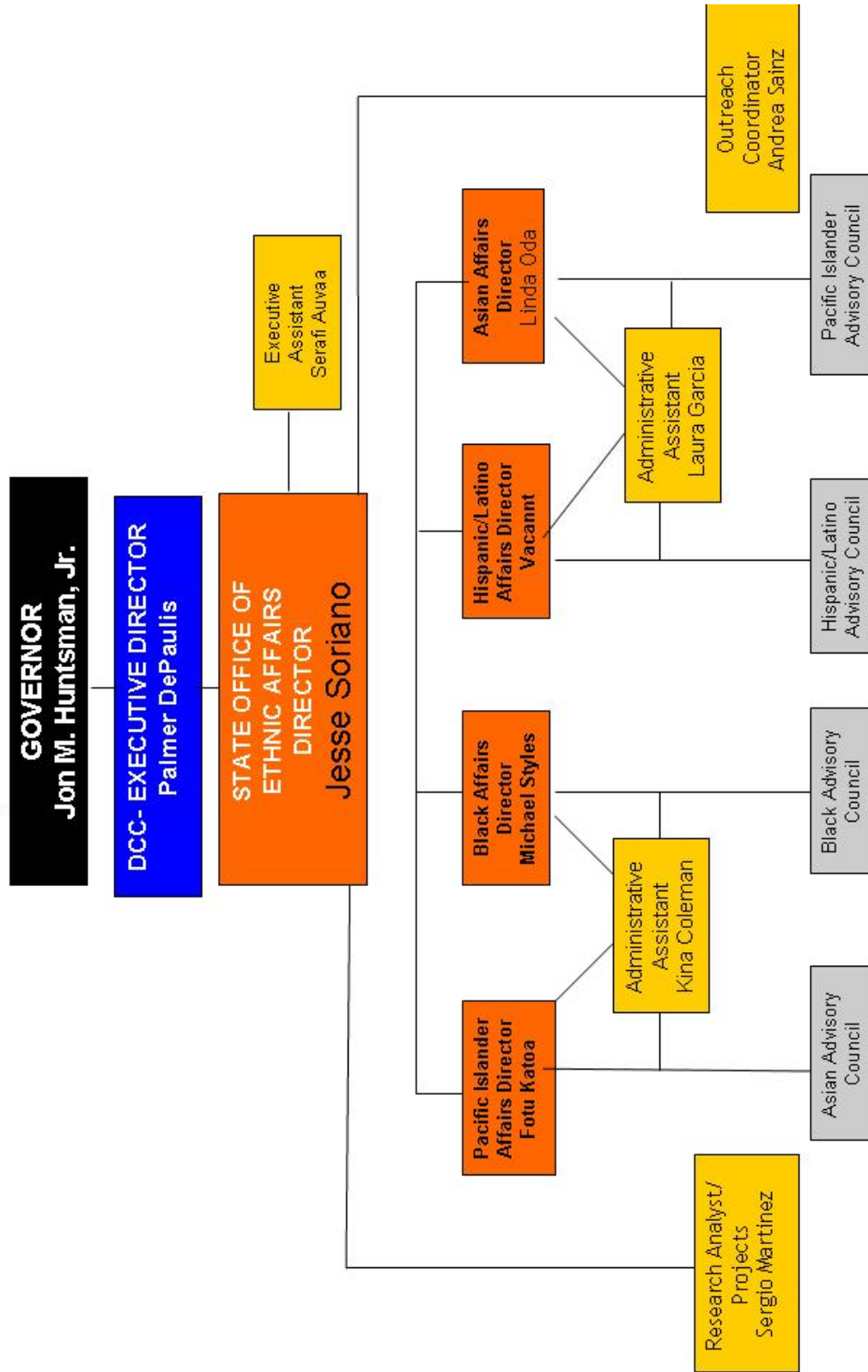
OEA has four State Ethnic Advisory Councils. Council members are appointed by the Governor:

- ▶ Asian Advisory Council
- ▶ Black Advisory Council
- ▶ Hispanic/Latino Advisory Council
- ▶ Pacific Islander Advisory Council

As community partnerships are critical, OEA also maintains an updated database of community organizations.

ETHNIC AFFAIRS ORGANIZATIONAL CHART

OEA Organization Chart



WHAT CAN I EXPECT AS A NEW DCC EMPLOYEE?

You will soon become familiar with numerous logistical arrangements and many resources at DCC. Your orientation process will consist of completing new hire documents and reviewing this employee handbook. Below you will find further information regarding:

Building access
GroupWise
Telephone access
Work hours

Computer security access
Pay periods/holidays
Timesheets/ESS

Emergency exits
Parking access/cards
State credit cards

New Hire Documents

The Human Resource staff will help you complete new hire documents. You will receive a packet of documents that includes medical insurance, dental insurance, vision care, life insurance, AD&D insurance, home and auto insurance, retirement plans, 401K plans and 457 plans. You will be further required to provide proof of authorization to work in the United States for I-9 Employment Eligibility.

You will also be provided information regarding training courses mandated by the Department of Human Resource Management, such as unlawful harassment and SAFE Driving. The Department requires you attend fleet training in order to drive a department fleet vehicle.

Building Access for Employees at 324 S. State, Suite 500, SLC

The building at 324 S. State is open to the public from 7:00 a.m. to 5:00 p.m. on weekdays, but you must have a security card to enter DCC's offices through the elevators, rear door or front door. DCC administration will provide you a security access card, issued specifically to you and which you must turn in upon leaving employment with DCC.

To enter the building before 7:00 a.m., after 5:00 p.m. or on weekends, you must use a security code provided by building management. A key pad is located near building entrances on 3rd South and on State Street, behind the metal bars next to the window. Please note, the code is changed periodically. The property manager will notify you via email when the code is changed. Please write it down in a safe place. The code only applies to employees who work at the 324 S. State Street location.

Building Access for Employees at locations other than 324 S. State, Suite 500, SLC

Access to off-site department locations, including the Rio Grande, the Glendenning Home, the Chase Home and the State Library is unique to each location. Division directors for those sites shall determine and oversee best practices for site security and orient new staff to their procedures and protocol.

Computer Security Access

Upon completion of new hire paperwork, HR staff will issue you a six-digit employee identification number and input your data into the HRE database. The database will automatically generate security access and activate a GroupWise (calendar, email) account for your use. When you turn on your computer, you will need to select a password and then enter the password three times to activate it. Also, all new DCC employees must complete DTS Security Awareness Training as part of their orientation.

Emergency Exits

Each division has a map of emergency exits. Check with your supervisor or the division director to obtain a copy. Also, request your supervisor take you on a facility tour, so you are aware of the building floor plan. For employees who work at the 324 S. State Street location, a floor plan is included in this handbook on page 29.

GroupWise

GroupWise is the State's e-mail system. In order for you to access GroupWise, you must first complete new hire documents. If you have completed the documents, find the GroupWise icon on your computer's desktop, click on it and it will initiate GroupWise. You will need to select a password at least six characters long. After you enter your name and password to log in, it will open the screen to view e-mail messages or for you to send messages. If you need assistance, you may call the DTS Help Desk at 801.538.3440 or 1.800.678.3440.

Pay Periods and Holidays

Listed on page 99.

Parking Access / Card

Free parking is available for employees at all locations. Those employees not located at 324 S. State have access to surface lots. For those located at 324 S. State, the parking structure is located immediately south of our building, accessible via State Street or Exchange Street, with a department-issued parking card, available from department administration.

Telephones

Check with your supervisor for telephone availability and for instructions for messaging, either your daily messages or to get messages from your desk-top phone.

Timesheets/ESS

As one may not anticipate illness or emergency, please complete your timecard daily. Through Internet Explorer on your computer desktop, go to: <http://stateemployees.utah.gov>. Enter your email address and password. Click on "Employee Self Service" under your name. Click "Enter Time" found in left column. On the first "Work" line enter your hours worked. If you have used sick or annual leave, click on the second line "drop down" and choose the correct type of leave used. If more than one type is used go to the next "drop down", etc. Be sure to SAVE your time entered.

You can also go to "My Information" to view pay statements, view leave balances, modify your W4 and direct deposit, and display the pay periods. Once you are in the ESS system, there are "Frequently Asked Questions" and "Help Tools" to help you further understand the system.

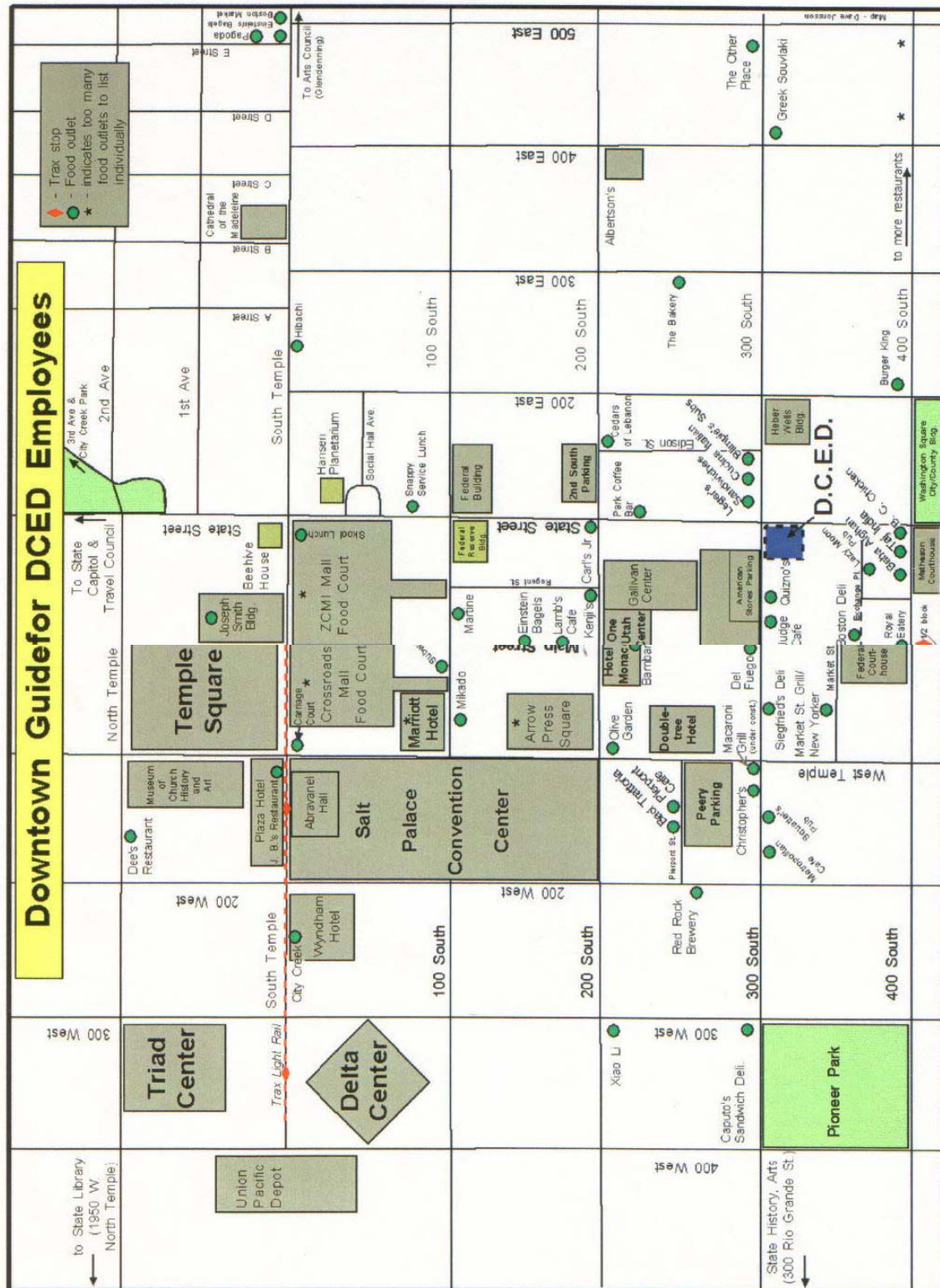
State Credit Cards

State credit cards are only provided to an employee who travels at least three times a year. Instructions for use are provided in this manual on page 43.

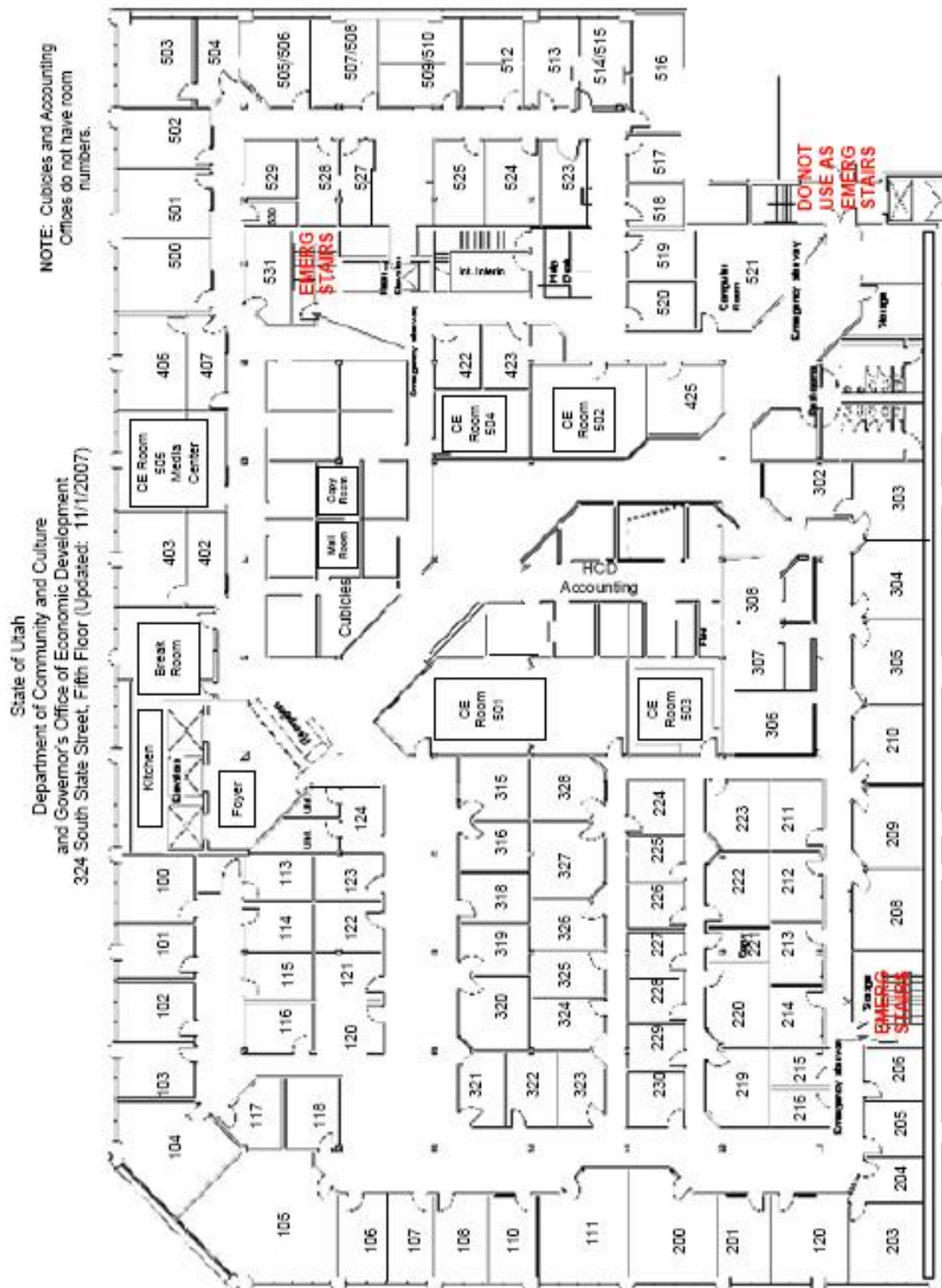
Work Hours

Employee work hours are normally from 8:00 a.m. to 5:00 p.m., Monday through Friday. Employees are required to take at least a 30 minute lunch break and two 15 minute breaks, one in the morning and one in the afternoon. Time not taken for either lunch or breaks does not count as hours worked and does not permit employees to leave early, unless approved by the supervisor in advance.

SALT LAKE CITY DOWNTOWN MAP



FIFTH FLOOR MAP



STATE BENEFIT INFORMATION

The State of Utah offers a variety of health coverage options. For additional benefit information, please access DHRM's Website: www.dhrm.utah.gov

Benefit Summary

- **Health Insurance** – Choice of:

- PEHP-Preferred – Allows employees to choose any provider.
- Advantage Care –
- Summit Care –
- High Deductible Health Plan – Employee contribution to Health Savings Account (HAS) is voluntary. In addition to state paid premiums, the state will contribute \$25 to an HSA for single coverage and \$50 to an HAS for double or family coverage bi-weekly.

- **Dental Insurance** – Choice of:

- PEHP Traditional
- PEHP Preferred
- Dental Select

- **Life Insurance**

The State provides a basic term life policy for each employee. Additional term coverage is available for employees, spouses, and dependents, at the employee's expense at a group rate. (You can apply for additional life insurance any time.)

- **Accidental Death and Dismemberment Insurance:**

Weekly Indemnity and Medical Insurance
Covers accidents that do not occur on the job
Acquired at employees expense

- **Vision Care**— Discount Program with Standard Optical or 2 other premium plans:

- OptiCare
- Eye Med

Retirement / Long-term investment options

- **Retirement**

Total four year vesting, State contributes 13.38% of your salary, no cost to employee.

- **401K**

Vested first day of employment, State contributes 1.5% of your salary, employee has the option to add to State contribution, employee chooses the investment strategy.

- **457**

State does not contribute, employee has the option to invest or not, employee chooses the investment strategy.

Voluntary Benefits

- **Flexible Spending Accounts**

Tax savings plans for out-of-pocket medical expense and dependent care expense. (Enrollment is in November, Flex\$ runs January – December).

- **Educational Assistance**

Please refer to page 55.

- **US Savings Bonds**

Purchased by the employee

- **Healthy Utah Programs**

Most expenses covered by Medical insurance, rebate programs (see www.healthyutah.org).

- **Home/Auto Insurance Discounts from Met Life and Liberty Mutual**

- **Hyatt Legal Plan**

Premium-based legal plan which covers specific legal services.

- **Direct Deposit**

Option to choose up to two checking and two savings accounts for direct paycheck deposit.

- **Lifestyle Benefits Discount Program**

Save on dining, hotels, services, recreation and many other items from local and national merchants (see www.memberweb.com must have agency code and employee ID number to gain access).

- **Long term Care insurance**

Assists with nursing home or hospice care expenses not covered by traditional insurance.

ADMINISTRATIVE SALARY INCREASE

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: To provide the Department's executive director flexibility to address compensation issues unique to DCC.

PROCEDURE:

Administrative Salary Increase shall only be granted when the Department has sufficient funding within its annualized base budget for the fiscal year in which the adjustment is given.

Justification for Administrative Salary Increase shall be in writing and approved by the executive director, and shall reference such issues as: special agency conditions or problems, equity issue, exceptional completion of special projects, and/or other unique situations or considerations in the agency.

One to four salary step adjustments may be given up to the midpoint of the employee's salary range. One to two salary step adjustments may be given to those who are above midpoint of their salary range.

The executive director is the final authority for all such salary actions authorized within these guidelines. Any challenge or grievance resulting from an Administrative Salary Increase shall be answered by the executive director or his/her designee.

Approvals for Administrative Salary Increase shall be made by the division's director/supervisor, or deputy director, and then forwarded to the Human Resource office for approval/denial by the DCC executive director.

Please note: This action does not require DHRM's sign-off or approval.

AGENCY RETREATS AND CONFERENCE ACCOMMODATIONS

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: Following are guidelines for scheduling accommodations for business-related meetings, retreats and conferences. Meals or refreshments for these meetings should not exceed state per diem amounts: Breakfast - \$8.00; Lunch -\$11.00; Dinner -\$16.00; and Breaks -\$4.00. Meetings of this nature need the prior approval of the respective division director or executive director. An agenda or other supporting documents should be attached with a request.

PROCEDURE:

The division director/manager, supervisor, or employee planning the event must first determine the type of retreat or conference planned, the number of participants and the facility in which it will be held (i.e., hotel, conference room, etc.).

The event planner should then call at least three different facilities to inquire about facility costs. If costs are under \$1,000, the event planner can schedule the event at the least expensive facility.

For billing purposes, find out if the facility has an account with the Department by contacting the Finance Director. He/she will also provide the event planner with a P.O. number.

If the facility cost amount is \$5,000 or more, or over the per diem rate, the State Travel Office must make the arrangements.

Retreats and conferences should be held at Utah facilities or locations, and divisions are encouraged to use state-owned facilities or locations if possible. A list of state facilities and rates is available at the Utah State Travel Office.

Employees traveling to retreat or conference locations may be reimbursed for mileage in excess of their normal office commute. Employees are encouraged to carpool where practical, especially if the distance to the retreat exceeds 50 miles for a majority of participants.

Lodging reimbursements for employees attending retreats or conferences located in excess of 50 miles of normal office commute will be paid only up to the \$70 maximum (state policy). Lodging reimbursements for attendees may be authorized for one night if the total training/meeting time exceeds 10 hours. Two night's lodging may be authorized if the total training/meeting time exceeds 15 hours. However, lodging reimbursement for a retreat should never occur more than once every two years.

To ensure the Department is complying with State procedures, contact DCC's Chief Financial Officer at 538-8707.

ALTERNATIVE WORK SCHEDULES

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

RELATED FORMS: *Alternative Work Schedule Agreement*,

RELATED POLICIES: *Telecommuting*

PURPOSE: The Governor has encouraged state agencies to consider procedures to reduce energy costs and ease traffic congestion to minimize air pollution.

Directors have the option to grant some employees work schedules other than the basic eight hour work day (8:00 a.m. to 5:00 p.m.) and eighty hour work schedule per pay period. While this process may be employee initiated, this program is **not employee-driven, but based on DCC division priorities, program necessity and customer service.**

POLICY:

Where practical, an alternative work schedule for an individual employee may be adopted at the discretion of the supervisor and division director, providing the hours from 8:00 a.m. to 5:00 p.m., Monday through Friday, are adequately staffed where service to the public is required.

Upon enactment of this policy, new contracts for flex time schedules will need to be approved by supervisors and division directors. A copy of the new form is found on page 35. Any current Flex-Time Work Agreements will be void.

For safety reasons employees are strongly discouraged from arriving at their work site before 6:00 a.m. or remaining later than 8:00 p.m.

Overtime/Compensatory time will not be allowed.

This alternative work schedule is comprised of a number of options which includes, but is not limited to, the following:

- Four (4) ten (10) hour days
- 7:00 a.m. to 4:00 p.m.
- 9:00 a.m. to 6:00 p.m.

Again, supervisors must ensure the office is covered during normal work hours and customer service is not compromised by alternative work schedules.

This policy does not apply to telecommuting.

DEPARTMENT OF COMMUNITY & CULTURE
ALTERNATIVE WORK SCHEDULE AGREEMENT

The Department/Division grants permission to _____
to work the following alternative work schedule, effective _____:
date

Days	Beginning & Ending Hours	30 or 60 Minute Lunch
Monday		
Tuesday		
Wednesday		
Thursday		
Friday		

By signing this agreement, the employee confirms he/she has read the Alternative Work Schedule policy and agrees to abide by all terms, including the following:

- the employee will be subject to reviews conducted on time-in, time out, and activities during the scheduled workday;
- no loss of efficiency will occur in the employee's assigned tasks;
- service to the agency and the public will not decrease;
- work can be accomplished during non-standard times;
- there will be no increase in cost to the Division/Department;
- no undue hardship will be placed on the employee or his/her co-worker(s);
- there will be adequate supervision of the employee.

Employee signature date

Supervisor signature date

Division Director signature date

AMERICANS WITH DISABILITIES ACT (ADA)

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

RELATED FORMS OR EXAMPLES: [Authorization To Release/Obtain Information](#)

DEFINITION:

Under the Americans with Disabilities Act, an individual with a disability is a person who has:

- A physical or mental impairment that substantially limits one or more major life activities;
- A record of such an impairment; or
- Is regarded as having such an impairment.

POLICY:

The Americans with Disabilities Act prohibits employers from discriminating against "qualified individuals with a disability" in regard to any employment practices or terms of conditions and privileges of employment. This prohibition covers all aspects of the employment process including:

- | | | |
|-----------------------|---------------------------------------|------------------------|
| • Application | • Promotion | • Leave |
| • Hiring/Interviewing | • Disciplinary action/
termination | • Medical examinations |
| • Testing | • Training | • Benefits |

It is the policy of the Utah Department of Community and Culture (DCC) that its employment practices shall be in conformance with the guidelines stated below:

JOB APPLICATION

Questions strictly prohibited:

- Requesting information concerning any conditions or diseases for which the applicant has been treated in the past.
- Asking the applicant if he/she has ever been hospitalized.
- Asking the applicant if he/she has ever been treated for any mental condition.
- Asking the applicant if there is any health-related reason why they may be unable to perform the functions of the job.
- Asking applicant how many days he/she was absent from work because of illness.

HIRING/INTERVIEWING

Questions strictly prohibited:

- A hiring official may not make any pre-employment inquiry about a disability, or about the nature or severity of a disability.

- A hiring official may not make any medical inquiry or conduct any medical examination prior to making a conditional offer of employment.
- A hiring official may not ask whether the individual will need treatment or special leave because of the disability.

LEAVE

- A manager/supervisor may establish attendance and leave policies that are uniformly applied to all employees, regardless of disability, but may not refuse leave needed by an employee with a disability if other employees get such leave.
- A manager/supervisor may be required to make adjustments in leave policy as a reasonable accommodation. The manager/supervisor is not obligated to provide additional paid leave, but accommodations may include leave flexibility and unpaid leave.
- A manager/supervisor is not required to give leave as a reasonable accommodation to an employee who has a relationship with an individual with a disability to enable the employee to care for that individual.

MEDICAL EXAMINATION

- After employment any medical examination or inquiry required of an employee must be job-related and justified by business necessity.
- All information obtained from a post-offer medical examination or other medical inquiries must be collected and maintained in a separate confidential medical file, located in the DCC Human Resource office, apart from the employee's personnel file and available only under limited conditions.

BENEFITS

- If an employer provides insurance or other benefit plans to its employees, it must provide the same coverage to its employees with disabilities. Employees with disabilities must be given equal access to whatever insurance or benefit plans the employer provides.
- An employer cannot deny insurance to an individual with a disability or subject an individual with a disability to different terms or conditions of insurance, based on disability alone, if the disability does not pose increased insurance risks.

REASONABLE ACCOMMODATION

It is the policy of DCC to provide reasonable accommodation to the known physical and mental limitations of qualified employees unless the accommodation would impose an undue hardship upon DCC. Examples of reasonable accommodations which may be extended to employees with disabilities include but are not limited to:

- Job restructuring
- Modified work schedules
- Reassignment to a vacant position
- Acquiring equipment or devices
- Permitting use of accrued paid leave or unpaid leave for necessary treatment

ACCOMMODATION REQUEST PROCEDURE

It is the policy of DCC that all employees desiring to request an accommodation will observe the following prescribed procedures:

- The employee discloses to supervisors that he/she needs an accommodation.
- Supervisor informs employee that DCC has a duty to make reasonable accommodations for a "qualified individual with a disability" unless it results in an undue hardship.
- The employee suggests accommodations that overcome the limitations of performing the job task.

ACCEPTABLE QUESTIONS

- A hiring official may inquire as to the applicant's ability to perform specific job functions.
- A hiring official may make a job offer that is conditioned on satisfactory results of a post-offer medical examination.
- A hiring official may ask all applicants to describe or demonstrate how they will perform a job, with or without an accommodation.
- A hiring official may ask an applicant if he/she can meet the time and attendance requirements of the job.

TESTING

- A test that screens out or tends to screen out a person with a disability on the basis of a disability must be job-related and consistent with business necessity.
- Tests must reflect the skills and aptitudes of an individual rather than impaired sensory, manual, or speaking skills, unless those are job-related skills that the test is designed to measure.

PROMOTION

- A hiring official should not assume an individual is not interested in, or not qualified for, advancement because of a disability.
- A hiring official should not deny a promotion because of the need to make an accommodation, unless the accommodation would cause an undue hardship.
- A hiring official should not place individuals with disabilities in separate lines of progression or in segregated units or locations that limit opportunity for advancement.
- Supervisors and managers who make decisions regarding promotion and advancement should be made aware of ADA nondiscrimination requirements.

DISCIPLINARY ACTION/TERMINATION

- A manager/supervisor can hold employees with disabilities to the same standards of performance as other similarly situated employees without disabilities for performing essential job functions.
- A disabled employee who needs an accommodation in order to perform a job function should not be evaluated on the accommodation, and should not be downgraded because such an accommodation is needed to perform the function.
- A manager/supervisor should not give employees with disabilities "special treatment."
- A hiring official may take the same disciplinary action against employees with disabilities as it takes against other similarly situated employees if performance and/or behavioral problems are present.

TRAINING

- Employees with disabilities must be provided equal opportunities to participate in training to improve job performance and provide opportunity for advancement.
- Training opportunities cannot be denied because of the need to make a reasonable accommodation, unless the accommodation would be an undue hardship.
- If needed, the following accommodations shall be made to individuals with disabilities during training: accessible locations and facilities, interpreters, materials in accessible formats and captions for people who are hearing impaired.
- Supervisors will inform the employee that he/she will forward this information to DCC's ADA Coordinator who will determine if they are a "qualified individual with a disability" and represent DCC in making any reasonable accommodations required by the ADA.
- Providing reserved parking for a person with a mobility impairment

The ADA coordinator may request information from the employee's physician regarding medical records and a diagnosis in an effort to determine physical limitations, estimated time of recovery, and/or expected return-to-work date.

COMPLAINT PROCEDURE

It is the policy of DCC that any employee who believes that he/she has been discriminated against based on disability may file an ADA complaint without fear of reprisal. To file a complaint, an employee should do the following:

- Continue to report to work.
- Document the alleged discrimination.
- Report initial complaint of alleged discrimination to DCC's Human Resource office first.
- If employee prefers, he/she may file a complaint with the Utah Anti-Discrimination Division of the Industrial Commission concurrently.
- Keep the complaint confidential.
- Keep the documents in a separate file.

CAREER LADDER/MOBILITY PROGRAMS

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

RELATED FORMS: *Career Ladder/Mobility Agreement*

PURPOSE: To provide for department employees an opportunity to pursue a career in the field of their choice through on-the-job training, college courses or seminars. Supervisors who anticipate filling a position could, with the assistance of the Human Resource office, develop a set of competencies required, along with the specific skill sets, that will enable the employee to be successful in achieving their goal.

PROCEDURE:

1. Supervisor identifies the position.
2. The supervisor, with assistance from HR, will develop competencies to include:
 - Essential functions of the job
 - Specific skill sets
 - Identifies required training
 - Establishes a time frame for completion
 - Identifies time frames for progress report on a monthly/quarterly basis
 - Includes salary rate
 - Conducts an evaluation which may or may not lead to a permanent position
3. Career Mobility Contract Agreement developed which outlines all program provisions and requirements mutually acceptable to both supervisor and employee.
4. All employees are eligible to participate in a Career Ladder/Mobility program without being discriminated against, in compliance with equal employment opportunities and practices.
5. Career service or merit employees shall retain all rights, privileges, entitlements, tenure and benefits from their previous position while in the career mobility program.
6. In the case of a reduction in force (RIF) which affects a position vacated by a participating employee, the participating employee shall be treated the same as other RIF employees.
7. If a Career Mobility assignment does not become permanent at its conclusion, the employee shall return to their previous position or a similar position. They shall receive the same salary rate they would have received without the career mobility assignment.
8. Employees who have not attained career service status prior to the Career Mobility assignment cannot permanently fill a career service position until they have obtained career service status through a competitive process unless previously approved by the Department and DHRM management.
9. The Career Ladder/Mobility Agreement (pg. 41) should be completed and signed by the supervisor and employee prior to the employee beginning the position.
10. A copy shall be retained in the employee's personnel file.

DEPARTMENT OF COMMUNITY & CULTURE
CAREER LADDER/MOBILITY AGREEMENT

Name of Employee: _____

Social Security Number/Employee Identification Number: _____

_____ (employee name), who is currently an _____
(identify the position) within the Department, has agreed to accept the temporary position of
_____ (position).

This position is within the (program name) _____. He/She will report to
_____ (supervisor name). The Career Ladder/Mobility will begin
_____ (effective date) and will end on _____ (termination date).

Note: If the program is complex, additional time or training may be needed. You may identify phase II and establish another time frame for completion of the plan.

DCC may terminate this agreement at any time with two week's advance notice given to
_____ (employee name). While this Career Ladder/Mobility Agreement outlines the terms, it is the intent of the Department to offer a meaningful employment for the incumbent, providing the necessary training and resources to help him/her reach his/her goal to become a productive member of the (program name) _____.

CONDITIONS OF AGREEMENT

1.

2.

3.

4.

5.

CASH RECEIPTS, DEPOSITING AND RECORDING

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: COORDINATE CASH RECEIPTING FOR ALL DIVISIONS, OFFICES AND ADMINISTRATION WITHIN THE DEPARTMENT OF COMMUNITY AND CULTURE, IN COMPLIANCE WITH FIACCT 13-00.00.

POLICY:

- Each division or office will maintain a check log.
- All payments will be tracked on check logs.
- For purposes of this policy, payments include checks, money orders, cash, and other legal US tender.
- Mail received via US Postal Service will be distributed to each division for daily recording of payments.
- Payments received via U.S. Postal Service will be logged in a secure check log.
- Check logs will be reconciled to deposit slips at least monthly.
- Separation of duties must be maintained for opening mail, creating deposit slips, and reconciling deposit information.
- Payments received after deposit runs will be kept in a secure location for later deposit, no later than three days from receipt.
- CR document, FINET cash receipts, should be used to record cash receipts and be entered in FINET on the same day deposits are made.

PROCEDURE:

- Division mail will initially be received by the floor mail clerk and distributed each day to an assigned person at each division or office.
- The assigned person will open all mail, except mail marked confidential, and record all payments received in a check log.
- Each day the assigned person will screen mail for payments, then return all mail to the floor clerk for further distribution.
- Each day the assigned person will forward all payments received to the appropriate accounting unit for deposit and recording in FINET.
- An assigned employee, who has no access to cash or monies received, will reconcile deposit information monthly.
- All CRs and their supporting documentation will be filed and must be retained for three years, or longer if required by the Department retention schedule.

Cellular Telephone Policy and Procedures

Overview

The Department of Community and Culture (DCC) is committed to the efficient use of state resources. For this reason, state-owned cellular telephones should be issued to DCC employees only when it can be demonstrated that it will significantly improve efficiency, enable quick response to state matters, and improve services to the public. DCC employees should use issued cellular telephones primarily for state business and the costs for any personal use must be appropriately reimbursed to the state.

Definitions

Personal Use – Any use (incoming or outgoing) for other than official state business.

Agency – A DCC division or office.

User – The state employee who has been issued and uses a state-owned cellular telephone.

DTS – The DTS element directly supporting DCC, also referred to as DCC IT.

Acquisition and Issue

When it has been determined that an employee meets the requirements for a cellular telephone as described above, the employee's supervisor will submit a cellular telephone request form through DCC Administration to DTS (DCC Information Technology or DCC IT). DTS will make the procurement and initially size the contract to the anticipated needs of the employee. DTS will pursue the most economical contract available and only official use requirements will be considered when determining the maximum number of minutes contracted and other device capabilities.

When the cellular telephone has been received from the vendor, DTS will verify operability and prepare and program the device as necessary. DTS will then issue the cellular telephone to the employee with all instructions and equipment necessary for successful operation.

Cellular Telephone Control and Personal Use Reimbursement Procedures

Each DCC agency director will designate a cellular telephone coordinator.

The coordinator will ensure that each approved cellular telephone user signs an Employee Cellular Telephone Agreement. The coordinator will maintain a file of all signed agreements for the agency.

The coordinator will prepare and maintain a list of all approved cellular telephone users in the agency. The list will include the user's name, cellular telephone number, the device's serial number, and a one-year (fiscal year) schedule of invoices distributed to users and reimbursements made. This list will be kept up to date and available for review by DTS and the DCC Internal Auditor.

Monthly, after cellular telephone invoices have been paid, a copy will be forwarded by the agency's finance unit to the cellular telephone coordinator. The coordinator will make copies as necessary and distribute the appropriate portion of the invoice(s) to the cellular telephone user(s).

User's will review their portion of the monthly invoice and identify (by highlighting or annotation) all personal calls made. Unsolicited incoming calls from unknown parties should not be counted as personal calls. After identifying all personal calls on the invoice and summing the minutes for personal calls, the user will reimburse the state according to the following methodology. Note: Mobile-to-mobile calls will be listed on the invoice and should be highlighted or annotated as personal calls if that is the case, but will usually show zero minutes used. As a result, they will not be part of the calculation.

Each contract will usually have a maximum number of minutes allowed per month – for example: 300 minutes. Each contract will also have a monthly fee for those minutes – for example: \$45.00. This amount will usually be charged regardless of the number of minutes used, as long as it is equal to or less than the maximum. Note: Blackberries and certain other cellular telephones will have a fee for telephone service and a fee for other services including email. Only the fee for telephone services should be used in the calculation.

The following equation will be used to calculate the amount to be reimbursed monthly to the state:

$$\frac{\text{Identified Personal Minutes}}{\text{Maximum Minutes Allowed}} \times \text{Monthly Fee} = \text{Reimbursement Amount}$$

For example:

$$\frac{100 \text{ Minutes}}{300 \text{ Minutes}} \times \$45.00 = \$15.00$$

This methodology will work for most current DCC cellular telephone contracts. If the contract does not have a monthly maximum, the invoice is not itemized by call, or the user has exceeded the maximum number of minutes allowed, the DCC Finance Director should be contacted for specific reimbursement procedures.

The cellular telephone coordinator will assure each user has reviewed their portion of the invoice, identified personal calls, and made the appropriate reimbursement in a timely manner. Reimbursement should normally be made on a monthly basis and the list updated. The cellular telephone coordinator will immediately forward the annotated/highlighted invoice and reimbursement to the appropriate finance unit for deposit in accordance with State Finance rules (usually within three days).

Because of the cost of finance transactions required for a deposit, if the amount of the monthly reimbursement is less than \$5.00, reimbursement may be held until the cumulative amount to be reimbursed is \$5.00 or greater. However, full reimbursement will be made at least quarterly and all accounts will be settled and current by the end of each fiscal year.

Annual Review

At least annually, the agency will review the cellular telephone use of each employee issued a state-owned device to determine if 1) the employee's job duties continue to require a cellular telephone, 2) the contract in force is sized appropriately, and 3) the employee's personal use of the state-owned cellular telephone is resulting in the contracted maximum minutes being established higher than required for official state business. If the employee consistently uses less or more minutes than the maximum or the

contract in force is the result of significant personal use, the agency will work with DTS to modify the contract with a view toward achieving the lowest cost possible. If the employee no longer needs a cellular telephone, the cellular telephone will be collected and returned to DTS for reissue. This will also be the case if an employee issued a state-owned cellular telephone leaves DCC employment.

Other Issues

DCC employees issued a state-owned cellular telephone are responsible for its reasonable care. In the event of loss or damage to the cellular telephone, DTS will be immediately notified. The employee will be held personally responsible for replacement or repair unless the employee can demonstrate that reasonable care to protect and safeguard the cellular telephone was exercised. If this can be demonstrated, the agency shall bear the cost of replacement or repair.

For the safety of DCC employees and other drivers, DCC policy discourages employees from using a cellular telephone while operating a motor vehicle.

Under no circumstances will a DCC employee be allowed to purchase a state-owned cellular telephone if the model is still being issued or can be supported by DTS. DCC will not assist an employee in the purchase of a state-owned cellular phone.

As necessary, the DCC Internal Auditor may review all cellular telephone lists, invoices, and other items to assure compliance with DCC cellular telephone policy and procedures.

As necessary, DCC employees issued state-owned cellular telephones will make them available to DTS for inventory review, upgrades, reprogramming, and repair.

DCC Cellular Telephone Agreement

The state-owned cellular telephone I have been issued will be used for official DCC business. Personal use, if any, will be limited to infrequent, incidental, and/or emergency use. I agree to reimburse DCC for any personal use (incoming and/or outgoing personal cellular telephone calls) by submitting a highlighted or annotated billing invoice (including reimbursement calculations) along with the appropriate reimbursement to my agency's cellular telephone coordinator, normally on a monthly basis, but at least quarterly as defined in the DCC Cellular Telephone Policy and Procedures.

I understand that I am responsible for use and safekeeping of the cellular telephone. In the event of loss or damage to the cellular telephone, I am personally responsible for the cost of replacement or repair unless I can demonstrate that I have exercised reasonable care to protect the cellular telephone.

I have read and I understand the DCC Cellular Telephone Policy and Procedures, and I agree to the terms and conditions outlined.

I certify that the following cellular telephone information is correct:

Cellular Telephone User: _____

Cellular Telephone Number: _____

Cellular Telephone Serial Number: _____

Signature of Cellular Telephone User: _____ Date: _____

Signature of Cellular Telephone Coordinator: _____ Date: _____

CORPORATE CARDS

APPLIES TO: All DCC Employees Issued Corporate Credit Cards

EFFECTIVE: MARCH 2008

RELATED FORMS: Corporate Card application form, Master Coverage Waiver Claim form for MasterCard, FI 51A, FI50, Transaction Detail with Payments Report, and State of Utah Receipt of Corporate Card.

PURPOSE: This policy directs department use of the Corporate Card as identified in FIACCT 10-03.00. The Corporate Card will reduce the need for cash advances for travel, make payment of travel costs more convenient for travelers, and simplify accounting for travel reimbursements, while providing more useful management reports. The Corporate Card may also be used in compliance with Department Receptions/Client Entertainment Policy. Furthermore, this policy directs department internal reporting of use and status of Corporate Card, as identified in FIACCT 10-03.00. This policy is to ensure appropriate use of Corporate Cards and protect credit ratings of the State and individual employees.

POLICY:

- A. A Corporate Card Administrator will be designated for the Department to carry out the provisions of this policy and to be a single point of contact for State Finance. The current DCC Corporate Card Administrator is Sandra Andrus (801-236-7557).
- B. The Corporate Card Administrator will be the single point of contact for processing division director-approved credit card applications and for canceling of accounts. The Department will issue a Corporate Card to department employees who travel at least three or more times a year on state business. Cards that are not used within a 12 month period may be canceled.
- C. The employee to whom the Corporate Card is issued is responsible for paying the balance due each month. The Corporate Card Administrator will review monthly delinquency reports, provided at www.paymentnet.com, and notify individual cardholders of delinquency status and require resolution of accounts. Misuse of the card will result in disciplinary action, ranging from corrective action to termination.
- D. Corporate Cards are issued in the names of the employee. No other employee is to use the card or the account number. A fee of \$6.00 per year per card will be charged to the division for which the employees work.
- E. Employees shall use the cards only for payment of official state business travel expenses incurred by the individual named on the card. Hotels and rental cars must be charged on the Corporate Card. Whenever possible, additional business-related travel expenses such as meals, books, fees, and registrations should use also be charged on the Corporate Card.
- F. Employees may not use these cards for paying personal, non-business expenses. The Department will withdraw the card privilege and will take appropriate disciplinary action, ranging from corrective action to termination, against any employee who misuses the card.
- G. A monthly bill will be sent directly to the employee named on the card. (See the application

instructions for billing address information.) The employee is responsible for requesting the travel reimbursement as soon as possible. The employee is also responsible for paying the total amount due each month.

H. **Billing Cycles**

- One Cycle Delinquent—30 days after the statement billing date a past due reminder will be printed on the monthly statement informing the cardholder the account is delinquent. A 30-day delinquency status will be e-mailed by the Corporate Card Administrator to the cardholder and immediate supervisor, informing the cardholder the account is delinquent and requiring immediate payment.
- Two Cycles Delinquent—60 days after the statement billing date a past-due reminder will be printed on the monthly statement informing the cardholder once again the account is delinquent; a late fee of 2.5 percent of the overdue balance will be assessed. The Department will be notified by the State of the delinquency. A 60-day delinquency status will be emailed by the Corporate Card Administrator to the cardholder, immediate supervisor, division director, and the HR director, informing the cardholder once again the account is delinquent and notifying the cardholder all card privileges will be suspended until payment is made.
- Three Cycles Delinquent—90 Days after the statement billing date a serious past-due notice will be printed on the monthly statement, and an additional late fee of 2.5 percent of the overdue balance will be assessed. The Department and the cardholder will be notified by the State all card privileges will be suspended or canceled. A 90-day status will be emailed by the Corporate Card Administrator to the cardholder, immediate supervisor, division director, HR director, and deputy director informing the cardholder payment is due immediately, all card privileges will be canceled, and appropriate disciplinary action, ranging from corrective action to termination, will be taken.
- Four Cycle Delinquent—120 days after the statement billing date the card will be canceled.

- I. Employees MAY include the expenses of a non-state employee in cases where separation of the employment is difficult. For example: a non-state employee staying in a double room with the employee is not billed separately by the hotel. The state employee could use his card to pay the hotel bill. However, only the single rate is reimbursable.
- J. Employees shall report immediately lost or stolen cards to the MasterCard Customer Service Center at 1-800-270-7760. Immediately after contacting MasterCard, notify your department. MasterCard will automatically forward a replacement card within 24 hours and international delivery shall be within 48 hours. The cardholder will be billed \$25.00 for an emergency replacement card which will be reimbursed by the employee's agency. The employee is not liable for any charges made on the card after he reports the card either lost or stolen.
- K. Upon termination or transfer, the employee must return the Corporate Card to the Department's HR director. The HR director will destroy the card and the Corporate Card Administrator will e-mail or fax (801)538-3244 the Division of Finance Travel Administrator to cancel the card. The card must be canceled within two business days of the employee's termination date. See pg. 63.

PROCEDURE:

REQUESTING CARDS

Each division director will determine which employees, if any, should be issued MasterCard or Corporate Cards. Upon approval, the employee will obtain an application from the State Division of Finance through the Corporate Card Administrator. The employee will complete and return (through state mail) the application to: Division of Finance, 2110 State Office Building, Salt Lake City, Utah, 84114.

After receiving the form processed by the Division of Finance, the employee will sign the Receipt of Corporate Card, send the original to the Division of Finance, and submit a copy to the HR director to be filed in the employee's personnel file.

CHARGES AND PAYMENTS

The employee must use the card only for payment of official state business travel expenses incurred by the individual named on the card. Hotels and rental cars must be charged on the Corporate Card. Whenever possible, additional business-related travel expenses such as meals, books, fees, and registrations should also be charged on the Corporate Card. Obtain receipts for all charges. Prepare a Travel Reimbursement Request form FI 51 A; or Vendor Payment Voucher form FI50, as soon as possible. (This will provide adequate time to get the warrant processed and sent to the employee to pay the current month's bill.)

The employee must reconcile the monthly billing with the actual charges incurred during travel.

The employee will pay the amount owing each month and is responsible for paying finance charges.

LOST OR STOLEN CARDS

The employee will immediately report the missing card to the nearest MasterCard Office in person, or call the toll-free number: 1-800-270-7760. Immediately after contacting JPMorganChase, the employee will notify the Department. (If the card is lost or stolen while you are traveling and the employee requires a new card, he/she should call the local JPMorganChase Office or the above toll-free number for assistance.)

Emergency replacement centers replace a card within 24 hours for domestic delivery and within 48 hours international delivery. The employee is not liable for any charges made on the card after he/she reports the lost card.

TRANSFERRING EMPLOYEES

If the employee is transferring within a department and their Corporate Card will be reported under the same hierarchy number, the Department will notify the Division of Finance. The Division of Finance will only be notified if accounting codes change.

If the employee's Corporate Card will not be reported under the same department, the Department will follow the Termination of Privilege procedures on pg 46 of this handbook.

TERMINATING EMPLOYEES

The employee, upon termination, will return all cards, including the Corporate Card to their supervisor. The employee's supervisor will instruct the employee to reconcile or pay any outstanding balance, and notify the Corporate Card Administrator to send either an email or fax (801-538-3244) to the Division of Finance Travel Card Administrator. List the following information:

- Employee's name
- Employee's account number
- Date of termination or transfer
- Employee's last known address
- Employee's last known home phone

**STATE OF UTAH
DEPARTMENT OF COMMUNITY & CULTURE
RECEIPT OF CORPORATE CARD**

I _____ hereby acknowledge the rules regarding the use of the J P Morgan Chase MasterCard Corporate Card.

In consideration of the State of Utah obtaining the Card and providing it to me to be used for State business only, I agree to the following:

1. I understand the Card is not to be used for personal use.
2. I will use the Card for hotels and car rentals, and whenever possible for my additional official State business related travel expenses, such as meals, books, fees, and registration for work shops or seminars. The Card is not to be used for the purchase of cell phones or home Internet charges. All airline tickets must be charged to the Agency CTA (Corporate Travel Account).
3. I will promptly submit travel reimbursement requests for the official State business related travel expenses charged to the Card.
4. I understand that J P Morgan Chase will bill me monthly for all charges made to the Card and that I will be personally responsible for paying all charges to the Card.
5. I will pay all charges, in full, shown on my J P Morgan Chase monthly billing statement promptly upon receipt of the travel reimbursement. I understand that I am personally responsible for, and I will promptly pay, any late payment charges that may be assessed by J P Morgan Chase if my account becomes delinquent.
6. I understand that my Card privileges may be suspended or canceled if I am delinquent in paying J PMorgan Chase Corporate Card.
7. I will promptly return the Card to the State if requested to do so or if my employment with the State is terminated, or if I transfer departments.

Employee Name / Signature

Date

Original is to be sent to the Division of Finance.

A copy will be placed in the employee's personnel file.



JPMorganChase STATE OF UTAH
Corporate Card Application
BUSINESS USE ONLY

Employee Information

First Name Middle Initial Last Name

Employee's Business Address

City State Zip

Employee's Home Address

City State Zip

()
Home Phone

()
Business Phone

Employee's Social Security Number

Employee's Date of Birth (month/year)

Mother's Maiden Name/Password

DEPARTMENT INFORMATION

Department Name Division

Department Street Address

City State Zip

Monthly Credit Limit Hierarchy Control Number

Employee / Approval Signature

Signature of Applicant / Date

Agency Authorization Signature / Date

Division of Finance Authorization / Date

THE STATE OF UTAH CORPORATE CARD IS FOR BUSINESS USE ONLY

CORRECTIVE ACTION

APPLIES TO: All DCC Merit Employees

EXCEPTION: “Appointed” career service employees are not subject to the same corrective action or disciplinary process.

EFFECTIVE: MARCH 2008

Related Policy: Discipline

PURPOSE: It is the policy of the Department of Community and Culture (DCC) that employees who continue to exhibit substandard work performance and/or inappropriate behavior or conduct at the workplace, or while representing the Department outside the workplace, shall be placed on Corrective Action status. **Corrective Action is intended to help the employee improve their performance and is not punitive.**

CORRECTIVE ACTION:

When an employee’s work performance does not meet established standards due to failure to maintain skills, incompetence, or inefficiency, the supervisor, with consultation from Human Resources, may use appropriate, documented and clearly labeled correction in accordance with the following:

1. Supervisor shall discuss substandard performance with the employee to determine appropriate corrective action. If a formal corrective action plan is developed or a written warning issued, the employee shall sign the plan or the warning to certify that it has been reviewed. Refusal to sign the corrective action plan or warning shall constitute insubordination subject to discipline.
2. An employee shall have the right to submit written comment to accompany the corrective action plan.
3. DCC’s corrective actions plans shall include the following:
 - a. a designated period of time,
 - b. an opportunity for remediation,
 - c. performance expectations,
 - d. closer supervision to include regular feedback of the employee’s progress,
 - e. notice of disciplinary action for failure to improve, and
 - f. a written performance evaluation at the conclusion of the corrective action plan.
4. In addition, the plans may also identify or provide for the following based on the nature of the performance issue:
 - a. training;
 - b. reassignment;
 - c. use of appropriate leave.
5. Following successful completion of corrective action, the supervisor shall notify the employee of disciplinary consequences for a recurrence of the deficient work performance.
6. After both parties have reviewed, discussed and signed the document, it will be sent to the HR Office.

DISCIPLINE

APPLIES TO: All DCC Merit Employees

EXCEPTION: “Appointed” career service employees are not subject to the same corrective action or disciplinary process.

EFFECTIVE: MARCH 2008

Related Policy: Corrective Action

POLICY: It is the policy of the Department of Community and Culture (DCC) that employees who continue to exhibit substandard work performance and/or inappropriate behavior or conduct at the workplace, or while representing the Department outside the workplace, shall be disciplined after they have been placed on Corrective Action and the performance or the behavior does not improve. Unlike Corrective Action, discipline is designed to have severe impact on an employee.

DISCIPLINE:

1. When an employee's work performance does not meet established standards due to failure to maintain skills, incompetence, or inefficiency, division management shall take appropriate, documented and clearly labeled disciplinary action for:
 - a. noncompliance with rules, DCC or other applicable policies, including, but not limited to, safety policies, agency professional standards, standards of conduct or workplace policies.
 - b. inefficient or incompetent work performance;
 - c. failure to maintain skills and adequate performance levels;
 - d. insubordination or disloyalty to the orders of a superior;
 - e. misfeasance, malfeasance, nonfeasance or failure to advance the good of the public service;
 - f. any incident involving intimidation, physical harm, or threats of physical harm against co-workers, management, or the public;
 - g. no longer meeting the requirements of the position.

2. All disciplinary actions of career service employees shall be governed by principles of due process and Title 67, Chapter 19a. The disciplinary process shall include all of the following, except as provided under Subsection 67-19-18(4):
 - a. A supervisor, in consultation with Human Resources, will notify the employee in writing of the proposed discipline and the underlying reasons supporting the intended action.
 - b. The employee's reply must be received within five working days in order to have the agency representative consider the reply before discipline is imposed.
 - c. If an employee waives the right to respond or does not reply within the time frame DCC established, or within five days, whichever is longer, discipline may be imposed in accordance with these rules.
3. After the supervisor, along with Human Resources, has informed a career service employee of the reasons for the proposed discipline and the employee has been given an opportunity to respond and be responded to, the supervisor and Human Resources may discipline that employee, or any career service exempt employee not subject to the same procedural rights, by imposing one or more of the following:
 - a. written reprimand;
 - b. suspension without pay up to 30 calendar days per incident requiring discipline;
 - c. demotion of any employee through one of the following:
 - (i) An employee may be moved from one position to another position having a lower maximum salary range and shall receive a reduction in the current actual wage.
 - (ii) A demotion within the employee's current salary range may be accomplished by lowering the employee's current actual wage, as determined by the agency head or designee.
 - d. Dismissal: the Executive Director shall dismiss or demote a career service employee only in accordance with the provisions of Subsection 67-19-18.(4). and Section R477-11-2.
4. If the Executive Director determines a career service employee endangers or threatens the peace and safety of others, poses a grave threat to the public, or is charged with aggravated or repeated misconduct, the agency may impose the following actions, as provided by subsection 67-19-18-(4), pending an investigation and determination of facts:
 - paid administrative leave, or
 - temporary reassignment to another position or work location at the same current actual wage.
5. At the time disciplinary action is imposed, the employee shall be notified in writing of the discipline, the reasons for the discipline, the effective date and length of the discipline.
6. Disciplinary actions are subject to the grievance and appeals procedure as provided by law for career service employees only. The employee and the Executive Director may agree in writing to waive or extend any grievance step or the time limits specified.

DISCRETIONARY FACTORS:

When deciding the specific type and severity of discipline, the Executive Director or representative may consider the following factors.

- a. consistency with application of rules and standards;
- b. prior knowledge of the rules and standards;
- c. the severity of the infraction;
- d. the repeated nature of violations;
- e. prior corrective/disciplinary actions;
- f. previous oral warnings, written warnings and discussions;
- g. the employee's past work record;
- h. the effect on the agency's operation;
- i. the potential of the violations causing damage to persons or property.

DISMISSAL OR DEMOTION

DCC's Executive Director may dismiss or demote for cause as explained under Section R477-11-1 and through the process outlined in this rule.

1. DCC's Executive Director may dismiss or demote a probationary employee or career service-exempt employee without right of appeal. Such dismissal or demotion may be for any reason or for no reason.
2. No career service employee shall be dismissed or demoted from a career service position unless the executive director or designee has observed the Grievance Procedure Rules and law cited in Section R137-1-13 and Title 67, Chapter 19a and the following procedures.
 - a. The Executive Director or designee shall notify the employees in writing of the specific reasons for the proposed dismissal or demotion.
 - b. The employees shall have up to five working days to reply. The employee must reply within five working days for the agency head or designee to consider the reply before discipline is imposed.
 - c. The employee shall have up the opportunity to be heard by the Executive Director or designee. The hearing before the executive director or designee shall be strictly limited to the specific reasons raised in this notice of intent to demote or dismiss.
 - (i) At the hearing the employee may present, either in person, or writing, or with a representative, comments or reasons as to why the proposed disciplinary action should not be taken. The Executive Director or designee is not required to receive or allow witnesses on behalf of the employee.
 - (ii) The employee may present documents, affidavits or other written materials at the hearing. However, the employee is not entitled to discover documents within the possession or control of DCC that are private, protected or controlled

- d. Following the hearing, the employee may be dismissed or demoted if the Executive Director finds adequate cause or reason.
 - e. The employee shall be notified in writing of the Executive Director's decision. Specific reasons shall be provided if the decision is a demotion or a dismissal.
- 3. DCC management may place an employee on paid administrative leave pending the administrative appeal to the Executive Director.

DRESS CODES/DRESS DOWN FRIDAY GUIDELINES

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: The purpose of casual Friday is to be business casual, not Saturday casual. Casual Friday is a benefit for employees and studies indicate it breaks down social barriers, improves attitudes, and increases teamwork and productivity. The following dress codes/dress down Friday guidelines have been established for employees to display a professional appearance when conducting business on behalf of the Department.

PROCEDURES: To conduct business on behalf of the Department of Community and Culture, all employees (including temporary, exempt, and seasonal personnel) are required to dress appropriately.

ACCEPTABLE FRIDAY-ONLY ATTIRE:

Acceptable, professional attire includes jeans, shirts, blouses, slacks or skirts, and suitable footwear.

Unacceptable attire includes shorts, sweats/jogging suits, tee shirts, spandex, halter tops, tube tops, midriffs, and shabby jeans. Unsuitable footwear includes flip-flops.

Employees who dress inappropriately may be asked to leave and return to work in acceptable attire.

EDUCATION ASSISTANCE

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

RELATED FORMS: *Education Assistance Contract*

PURPOSE: The purpose of the Education Assistance program is to assist employees in their educational goals by granting them administrative leave to attend classes (if the job duties can warrant the request) and/or a subsidy of educational expenses.

POLICY: This policy applies to all divisions within the Department of Community and Culture, and employees who are either full-time or part-time after completion of the probationary period, which is set by the Department of Human Resource Management, or, in the case of exempt employees, the period set by DCC management. Seasonal or temporary employees are excluded; exceptions may be made by supervisors and division directors. Supervisors are encouraged to utilize this benefit for their employees as a part of their performance plan development.

Education assistance should not exceed \$5,250 per employee in any one calendar year (per R477-10) and must be job related. DCC management shall be responsible for determining the taxable/non-taxable status of educational reimbursement (job-related classes are usually non-taxable). Master, bachelor and other degree programs must be job-related in order to receive reimbursement (Ph.D. programs are not included).

PROCEDURE:

REQUESTING ASSISTANCE/PROCESSING REQUEST

An employee should consult with his/her supervisor when their Performance Plan is written and/or negotiated. Items to be considered include:

- How will this assistance benefit the employee in their current job?
- Does taking the course(s) increase the employee's career ladder potential?
- Will the educational program provide a benefit to the State?

Upon approval of the supervisor and the division director, the employee should complete the Education Assistance Contract and include the course(s) Title/Number, School in which the employee will attend and the total cost. The contract requires both supervisor and division director signatures, and needs to be signed by the Human Resource Director.

REIMBURSEMENT

Employee tuition reimbursement will be contingent upon the following:

- Successful completion of the course;
- Receiving a passing grade of a C or better; and
- Verified receipts for the cost of the educational course(s).

FORFEITURE

The employee shall agree to repay any assistance received if the employee voluntarily terminates employment within one year of completing education for which they were reimbursed.

DEPARTMENT OF COMMUNITY AND CULTURE
EDUCATION ASSISTANCE CONTRACT

A CONTRACT made and entered into between

_____ (Name of Division/Program)

hereinafter referred to as AGENCY and

_____ (Employee's full name)

_____ (Social Security Number)

hereafter called STUDENT-EMPLOYEE.

Whereas, the STUDENT-employee requests assistance from the DEPARTMENT'S education assistance program, the STUDENT-employee and the Department agree that the division will pay education tuition cost(s) as described in #3 for the courses listed below:

Course Title/Number	School:	Total Cost:
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Grand Total: _____

NOW THEREFORE, it is agreed by and on behalf of the parties hereto as follows:

1. All covenants and agreements herein contained shall be binding upon all parties hereto.
2. This contract may be terminated by either party by submitting a termination request in writing.
3. The division certifies that:

It will pay the STUDENT-EMPLOYEE \$ _____ which is _____ % of the costs for the course(s) agreed on above and that no payment will be made without receipts for the expenses for which reimbursement is being sought and documented proof of passing grade as defined in the aforementioned policy for education assistance.

The courses(s) agreed on above satisfy development needs of the STUDENT-EMPLOYEE as specified in their Performance and Development Plan and will result in additional benefits to the division. The education assistance authorized for the above named STUDENT-EMPLOYEE has not exceeded the \$5,250 maximum for the current fiscal year.

4. The STUDENT-EMPLOYEE by signing this contract agrees to the following:

The STUDENT-EMPLOYEE will make every effort toward successful completion of the course(s) agreed to above.

The STUDENT- EMPLOYEE will remain in the employment of the State for at least one year following completion of the above course(s) or refund the pro-rated cost contributed by the state.

That the State of Utah is authorized to withhold from the STUDENT-EMPLOYEE'S wages or salary monies owed by the employee for education assistance received under this contract in the event the employee terminates employment with the State within the one year period provided above.

IN WITNESS WHEREOF, the DEPARTMENT and the student-employee have caused these presents to be signed by their proper officials thereunto duly authorized.

STUDENT-EMPLOYEE

Date

EMPLOYEE'S SUPERVISOR

Date

DIVISION DIRECTOR

Date

HR DEPARTMENT OFFICIAL

Date

ETHICS ACT AND CONFLICTS OF INTEREST

This document provides information on ethics requirements and potential or actual conflicts of interest of Utah Department of Community & Culture employees. This information is not to be construed as legal advice.

APPLICABLE LAW

The Utah Public Officers' and Employees' Ethics Act (Ethics Act) applies to all State of Utah/DCC employees. See www.dhrm.utah.gov for actual text.

In 1998, the Legislature amended the Ethics Act by clarifying that the offenses covered by this act do not encompass actions taken under circumstances amounting to a violation of UCA §63-56-72 or §76-8-105.

UCA §63-56-72 of the Utah Procurement Code makes it a felony for any person who, in any official capacity, participates in the procurement of any supplies, services, construction, real property or insurance for the state of Utah, or any subdivision thereof, if that person asks, receives, or offers to receive, from any person interested in the sale of these items or services, any emolument, gratuity, contribution, loan, reward, or any promise thereof, either for himself or for another person or organization.

Under UCA §76-8-105 of the Utah Criminal Code, a public servant* is guilty of receiving or soliciting a bribe if that person asks for, solicits, accepts, or receives, directly or indirectly, any benefit with the understanding that the purpose is to influence an action, decision, opinion, recommendation, judgment, vote, nomination, or exercise of discretion. It is not a defense that the public servant was not qualified to act in the desired way, did not act in the desired way, or the benefit is not asked for, conferred, solicited, or accepted until after the public servant has performed the desired action or ceases to be a public servant.

In the 2000 General Session, the Utah State Legislature added provisions to the Ethics Act making it an offense to donate or to demand donations of property, money or services on a condition of granting a permit, approval, or other authorization. UCA §67-16-5.3 and 5.6.

REQUIREMENTS OF THE ETHICS ACTS

Disclosure

Under §67-16-7 of the Ethics Act, every public officer¹ or public employee² who is an officer, director, agent, employee, or the owner of a substantial interest³ in any business entity which is subject to the regulation of the agency is required to disclose:

1. the position held; and
2. the precise nature and value of interest. (Does not apply where total value does not exceed \$2,000. Life insurance policies and annuities are not considered in determining value.)

Adapted from "Handbook for Members of Utah State Boards and Commissions" Office of the Governor

*"Public servant" means any officer or employee of the state or any political subdivision of the state, including judges, legislators, consultants, and persons otherwise performing a governmental function. UCA 76-8-101 (5)(a)

If the position changes or value is significantly increased, it must be reported.

Under §67-16-6, a public officer or public employee may not receive or agree to receive compensation for assisting any person or business in any transaction involving any agency⁴ unless the public officer or public employee discloses their name and address and the agencies involved, and provides a brief description of the transaction. Under §67-16-8, a public officer or public employee may not participate or receive compensation in respect to any transaction between the state or any of its agencies and any business entity to which the public officer or public employee is also an officer, director or employee or owns a substantial interest, unless disclosure is made as indicated below.

Method of Disclosure

A sworn, written statement by the public officer or public employee giving the information listed above is to be filed with the head of the agencies involved and the Utah Attorney General's Office.

Prohibitions

Restrictions outlined in the Ethics Act include:

No public officer or public employee shall:

- accept employment or engage in any business or professional activity that he may reasonably expect would require or induce him to improperly disclose controlled information;
- improperly disclose or use controlled, private or protected information acquired by reason of his position or in the course of official duties to further substantially his personal economic interest or obtain special privileges or exemptions for himself or others;
- use or attempt to use his position to further substantially his personal economic interest or to secure special privileges or exemptions for himself or others;
- accept employment that would impair his independence of judgment or interfere with the ethical performance of his public duties;
- receive, take, seek, or solicit, directly or indirectly, for himself or another, a gift of substantial value or a substantial economic benefit tantamount to a gift*,
 - a. that would tend to improperly influence him in the discharge of his duties,
 - b. that the person knows, or a reasonable person in that position should know under the circumstances, is primarily intended to reward the person for official action taken,
 - c. if he recently has been or is or will be involved in a government action affecting the donor or lender unless a disclosure of the gift, compensation, or loan has been made in the manner described above;
- have personal investments in any business entity which will create a substantial conflict between his private interests and his public duties; or
- donate or to demand donations of property, money or services on a condition of granting a permit, approval or other authorization.

1 "Public officer" means all elected or appointed officers of the state or any of its political subdivisions who occupy policymaking posts. UCA 67-16-3 (13)

2 "Public employee" means a person who is not a public officer who is employed on a full-time, part-time, or contract basis by the state or any of its political subdivisions. UCA 67-16-3 (12)

3 "Substantial interest" means the ownership, either legally or equitably, by an individual, his spouse, or his minor children, of at least 10% of the outstanding capital stock of a corporation or a 10% interest in any other business entity. UCA 67-16-3 (15)

4 "Agency" means any department, division, agency, commission, board, council, committee, authority, or any other institution of the state or any of its political subdivisions. UCA 67-16-3 (1)

To declare under oath that one will tell the truth (sometimes "the truth, the whole truth and nothing but the truth"). Failure to tell the truth and do so knowingly is the crime of perjury.

Conflicts of Interest

A. Discussion – Procedure

It is State of Utah/DCC policy that potential conflicts of interest be disclosed in the same manner as substantial interests – on a written, notarized disclosure form.

B. What is a Conflict of Interest?

It is generally considered that a potential conflict of interest is any direct and immediate interest or relationship, including financial interest, with persons or businesses regulated by or directly affected by decisions of the agency, or persons or organizations which may present requests or issues before the agency or a Board thereof.

The interest of a spouse or other members of the immediate family/household or the interest of any other person which is constructively controlled by the public officer or public employee is included.

It is recognized that some relationships and interests have more “potential” for being a conflict of interest than others. There are some interests and relationships which, because of their nature, are insignificant. The financial interest may be so small or the relationship so remote that it does not present an actual conflict.

Types of interests to be considered as potential conflicts of interest include relationships or interests with persons, business enterprises, or nonprofit, professional, charitable, religious, social, educational, recreational, environmental, public service, or civic organizations,

1. with which you are connected as a member, employee, officer, owner, director, trustee, partner, advisor, or consultant;
2. in which you have any continuing financial interest as a creditor or through ownership of stocks, bonds, or other securities, ownership of real property or rights in lands, or through a pension or retirement plan, shared income or otherwise; or
3. to which you are indebted financially.

*“Economic benefit tantamount to a gift” includes:

- (1) a loan at an interest rate that is substantially lower than the commercial rate for similar loans; and
- (2) substantially higher compensation received for private services than the fair market value of those services.

Excluded from this definition is an occasional non-pecuniary gift of a value less than \$50.00, an award publicly presented in recognition of public service, any bona fide loan made in the ordinary course of business, or a political campaign contribution.

EXERCISE AND HEALTH ACTIVITY RELEASE TIME POLICY

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

RELATED FORMS: *Request for Exercise and Activity Release Time Agreement*

PURPOSE: Exercise and other health improvement activities can be a significant factor in preventing disease and improving one's outlook on life. Some studies document that increased energy generated by exercise increases employee productivity and morale as well.

POLICY: This policy applies to all divisions within the Department of Community and Culture and employees who are either full or part-time, and encourages them to engage in a regular program of exercise and health improvement (unless medical conditions make such a program inadvisable). This allows for 30 minutes of paid time, to combine with non compensated lunch three times per week.

PROCEDURE: Requesting Exercise and Health Activity Release Time

- Employees should consult with his/her immediate supervisor prior to completing the Request for Exercise and Health Activity Release Time Agreement.
- Upon approval by the supervisor, the form should be completed.
- The time for this activity shall be between 11:00 a.m. and 1:30 p.m. to be determined by the employee's immediate supervisor so as not to interfere with normal work requirements.
- Supervisors are encouraged, where possible, to schedule working hours such that any employee who wishes to take an extended lunch hour to participate in an exercise program may do so.
- Employees shall include in this lunch and exercise release time period enough time for consumption of food. Using additional work time to eat lunch shall not be authorized.
- Fifteen minute break periods shall not be used to increase or extend the lunch schedule and/or the one-half hour. (Refer to DCC Work Time, Lunch Schedule and Break Schedule Policy.)
- All travel time to and from an exercise facility, or location, shall be included and considered as a part of the approved lunch hour schedule and/or Exercise and Health Activity Release time.
- The 30 minutes (if used with a 60 minute lunch schedule, results in 90 minutes total) Exercise and Health Activity Release time begins when the employee leaves their work station and ends when the employee arrives back at their work station.

DEPARTMENT OF COMMUNITY & CULTURE
REQUEST FOR EXERCISE / ACTIVITY RELEASE TIME AGREEMENT

In accordance with the Department of Community and Culture's Health Activity Release Time Policy, I request authorization to utilize release time to participate in the following health improvement program from

_____ to _____
dd mm yy dd mm yy

(not to exceed June 30 of any fiscal year)

Health Activity or Program

The following time schedule will be observed:

1. Release time _____ to _____ Day of week _____

2. Release time _____ to _____ Day of week _____

3. Release time _____ to _____ Day of week _____

Will this release time be used in conjunction with your regularly scheduled lunch time? Y / N

Approval is an endorsement of policy intent and does not warrant or guarantee freedom from accident or injury.

I have read and understand the provisions contained in the Department of Community and Culture's Health Activity Release Time Policy and I agree that I will follow all terms of the policy.

Employee Signature

Date

Approved: _____
Immediate Supervisor Signature

Date

Approved: _____
Division Director Signature

Date

Approved: _____
Human Resource Director Signature

Date

EXIT INTERVIEW

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

Related Forms: Evaluation Form

POLICY: It is Department of Community and Culture (DCC) policy that all employees who resign or retire from the Department be afforded the opportunity to provide feedback regarding their employment.

EXIT INTERVIEW:

Prior to an employee's departure from the Department, the Human Resource office shall notify the employee that we would like him/her to complete the "Exit Interview" process. This provides management with information to improve personnel policies and practices.

1. The Supervisor will inform Human Resources of the employee's resignation, including the date.
2. Human Resources will schedule time for the employee to meet for the "Exit Interview."
3. Human Resources will provide the employee with documents required by the Public Employees Health Program (PEHP), i.e., retirement, insurance, flex reimbursement program.
4. In addition, DCC requires return of the following items:
 - Identification Card (State ID Badge),
 - Parking Card and Hang Tag,
 - Security Access Card,
 - State-owned vehicle keys, manuals, books other documents, tools and other equipment, i.e., cell phone, camera. Employee purchase of state-owned equipment will be subject to standard state policy on resource deployment and value.
5. Upon the conclusion of the "Exit Interview" process, a copy of the form will be provided to the supervisor and a copy will be placed in the employee's personnel file.

PURCHASE OF STATE EQUIPMENT:

It is the policy of the Department of Community and Culture (DCC) that exiting employees may purchase a state-issued cell phone or PDA/Blackberry device only if the equipment has reached its end of lifecycle. Equipment purchased for employees to conduct state business has no implied right of future personal ownership. Equipment with a remaining life cycle will be redeployed to new employees and not available for exiting employee's personal purchase. This includes peripherals, i.e., anything attached to a desktop or laptop, cell phones, PDA's, etc. Desktops/Laptops which have achieved end of lifecycle will not be eligible for employee purchase and must go through Surplus Property Dispensary Process.

PROCEDURE:

Employees are required to go through their supervisor to request authorization to purchase equipment.

The supervisor will then contact the IT Director to assess equipment end of life cycle.

The finance director will place a value on the item in order for the employee purchase to proceed.

Once the value and transaction are agreed upon, the employee will write a check to DCC and be provided a receipt.

IT will be notified to take the item off inventory.

DEPARTMENT OF COMMUNITY AND CULTURE EXIT INTERVIEW—EVALUATION FORM

The Department of Community and Culture would appreciate your comments and feedback about your experience while you were employed here. The purpose of this request is to gather information to help us improve personnel policies and practices in an effort to retain our current workforce.

Name: _____ Title: _____

Division/Program _____

Date of Hire: _____ Date of Departure: _____

- 1) What factors led to your decision to join the Department?
- 2) What factors led to your decision to leave the Department?
- 3) What, if anything, could DCC management have done to keep you employed here?

Please evaluate the statements below by indicating the response that most closely represents your opinion. Your comments about your employment are important to us and will be held in the strictest confidence.

Rating Scale: 1:Always True 2:Often True 3:Sometimes True 4:Rarely True 5:Never True

Open, Honest Communication

Firm values and expectations were communicated clearly and understood	1 2 3 4 5
Received timely and adequate feedback on performance	1 2 3 4 5
Supervisor asked you for feedback to improve/enhance services	1 2 3 4 5

Teamwork and Collaboration

Participated in efficient and positive environment where teamwork was inspired	1 2 3 4 5
Workload distributed equitably among team members	1 2 3 4 5

Involvement of Employees

Worked in supportive environment	1 2 3 4 5
Given opportunities to provide input on projects or activities	1 2 3 4 5

Without Boundaries

Had access to the necessary information regarding the Department and Division mission, vision and goals	1 2 3 4 5
Provided with technology resources to manage and deliver projects effectively	1 2 3 4 5

Leaders Who Serve

Received adequate leadership in support of performance goals/recognized for accomplishments	1 2 3 4 5
Supervisor was accessible and attentive	1 2 3 4 5

Personal Accountability

Motivated to set high standards of personal conduct and take responsibility for work	1 2 3 4 5
Encouraged to assume leadership role	1 2 3 4 5

Technical Expertise

Provided with technical training and support to maintain technical competence	1 2 3 4 5
Educated in risk management areas instilled with the Department's professional standards	1 2 3 4 5

Practice Management

Challenged to respond to customer needs and ensure success	1 2 3 4 5
Encouraged and recognized for efforts to manage costs/budgets and create efficiencies	1 2 3 4 5

Knowledge Sharing

Assigned interesting and challenging projects	1 2 3 4 5
Industry/client knowledge utilized by other practice areas	1 2 3 4 5

Sales and Marketing

Encouraged to join professional, trade, community organizations	1 2 3 4 5
Encouraged to create processes/systems to enhance current services and/or develop new systems	1 2 3 4 5

Human Resources

Treated with respect and dignity	1 2 3 4 5
Performance Evaluations/Goal Setting conducted in timely and meaningful fashion	1 2 3 4 5
Career path needs supported and acted on	1 2 3 4 5
Compensation commensurate with skills and position	1 2 3 4 5
Provided the flexibility to balance work/family issues	1 2 3 4 5

Have the following items been explained to you and have they been completed?

Retirement Options: Complete Employee Benefits Notification Form for Retirement

Insurance Options: Complete Employee Benefits Notification Form for Insurance

Voice Mail Forwarded phone to the front desk

Agency/Office

Explained

Unemployment	Yes ___ No ___
Flexible Reimbursement Program (FLEX\$)	Yes___ No ___

Materials/Equipment to Return:
Returned
**Follow
Though**

Group Insurance Prescription Card(s) (after benefits have ended)

State Corporate Card Card No. _____

Identification Card (State ID Badge) _____

DCC Purchase Card Card No. _____

Parking Card/Hang Tag Card No. _____

Security Access Card (Honeywell) Card No. _____

State-Owned Vehicle Keys _____

State-Owned Manuals, Books, Documents _____

State-Owned Keys (Office, desk, cabinets, other) _____

Computer Security Access Codes (Canceled) _____

Dial Up Account (IT Controlled) _____

State-Owned Tools and/or Equipment (please include ID/serial#) _____

Items Returned: _____

**If necessary, please write on
back of page**

State-Owned Cell Phone _____

State-Owned Camera _____

Money Owed the State of Utah/DCC _____

Other Please Specify: _____

Please verify home address for possible future correspondence:

Home Address: _____

City: _____ State: _____ Zip Code: _____

Other Comments:

Signature: _____ Date: _____

Interviewer's Comments:

FAIR EMPLOYMENT OPPORTUNITY

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

POLICY: The Department of Community and Culture (DCC) is committed to the practice of equal employment opportunity for all of its employees and applicants, and shall not discriminate against any individual based on race, color, sex, religious creed, national origin, age, disability, or veteran status. DCC further promulgates Equal Employment Opportunity in the following areas:

HUMAN RESOURCES PRACTICES - DCC and its employees shall not, in recruitment, hiring, training, promotion, compensation, benefits, transfers, reduction-in-force, terminations, and social and recreational programs, discriminate based on race, color, sex, religious creed, national origin, age, disability, or veteran status. Moreover, DCC's hiring officials shall not ask any questions pertaining to the above mentioned areas in interview process.

PUBLIC CONTRACTS - Every contract for goods or services which DCC is involved in shall contain a clause barring discrimination based on race, color, sex, religious creed, national origin, age, disability, or veteran status, and such contractual provisions shall be fully and effectively enforced.

FINANCIAL ASSISTANCE - No division or program of DCC which engages in granting financial assistance or in making payment of any public funds shall award the same to any institution or organization engaged in discriminatory practices based upon race, color, sex, religious creed, national origin, age, disability, or veteran status.

OTHER GOVERNMENT BODIES - All other political subdivisions, boards, or other instrumentalities of DCC are requested to cooperate with this endeavor to eliminate any and all acts of discrimination within DCC.

COOPERATION WITH THE UTAH ANTI-DISCRIMINATION DIVISION (UALD) - DCC, in accordance with the provisions of the State's laws against discrimination, shall cooperate fully with the Utah Anti-Discrimination Division of the Industrial Commission and duly comply with requests and recommendations.

POSTING OF THIS POLICY - Copies of this policy shall be distributed to all department employees and board members and posted in prominent locations.

COMPLAINT PROCEDURE - Individuals who feel they are being subjected to discrimination should do the following:

- Continue to report to work.
- Verbalize disapproval of action to the individual who is discriminating and ask that it cease (recommended but not required).
- Document the occurrence.
- Identify a witness.
- Inform DCC's Human Resource office of the alleged discrimination.

Upon receipt of complaint, the Human Resource office will initiate an investigation.

FAMILY AND MEDICAL LEAVE ACT (FMLA)

APPLIES TO: All DCED Employees

EFFECTIVE: MARCH 2008

Related Forms: Application for Family or Medical Leave, Medical Certification Statement, Notice of Intention to Return From Leave

Note: For additional information, refer to DHRM website: www.dhrm.utah.gov

PURPOSE:

To provide qualifying employees to use up to 12 weeks of job-protected, unpaid leave, or paid if using accrued leave, for certain family and medical leave reasons in a calendar year.

POLICY:

Effective January 1, 2007: The calendar year (January through December 31) is the 12 month period in which up to 12 weeks of family and medical leave may be authorized by management of the Department of Community and Culture for any of the following reasons:

- Birth of a child
- Adoption of a child
- Placement of a foster child
- A serious health condition of the employee or
- Care of a spouse, dependent child, or parent with a serious medical condition

ELIGIBILITY:

To be eligible for the twelve weeks of family medical leave, an employee must be:

- a. be employed by the state for at least 12 months;
- b. be employed by the state for a minimum of 1250 hours worked, as determined under FMLA, during the 12 month period immediately preceding the commencement of leave.
- When an employee chooses to use FMLA leave, the employee or an appropriate spokesperson, shall apply in writing for the initial leave and when the reason for requesting family medical leave changes.
 - a. thirty days in advance for foreseeable needs; or
 - b. as soon as possible in emergencies
- An employee may use accrued annual leave, sick leave, converted sick leave, excess hours and compensatory time prior to going into leave without pay status for the family and medical leave period.
 - a. An employee who chooses to use FMLA leave shall use FMLA leave for all absences related to that qualifying event.

- b. An employee who takes family and medical leave in a leave without pay status must comply with Section R477-7-13.
- Any period of leave without pay for an employee with a serious health condition who is determined by a health care provider to be incapable of applying for Family and Medical Leave and has no agent or designee shall be designated as FMLA leave.
- An employee with a serious health condition covered under workers' compensation may use FMLA concurrently with the workers' compensation benefit.
- An employee on FMLA leave shall continue to receive the same health insurance benefits the employee was receiving prior to the commencement of FMLA leave.
- An employee on FMLA leave shall receive any administrative leave given for non-performance based reasons if the leave would have been given had the employee been in a working status.
- An employee shall be eligible to return to work under Section R477-7-13.
 - a. If an employee has gone into a leave without pay status and fails to return to work after FMLA leave has ended, an agency may recover, with certain exceptions, the health insurance premiums paid by the agency on the employee's behalf. An employee is considered to have returned to work if the employee returns for at least 30 calendar days.
 - b. Exceptions to this provision include:
 - an FLSA exempt and schedule AB, AD, and AR (appointed) employee who has been denied restoration upon expiration of their leave time;
 - an employee whose circumstances change unexpectedly beyond the employee's control during the leave period, preventing the return to work at the end of 12 weeks.
 - Leave taken for purposes of childbirth, adoption, placement for adoption or foster care shall not be taken intermittently or on a reduced leave schedule unless the employee and employer mutually agree.
 - Medical records created for purposes of FMLA and the Americans with Disabilities Act must be maintained in accordance with confidentiality requirements of Subsection R477-2-5(7).
 - All FMLA requests submitted to Human Resources must first be directed through the appropriate Division Director.
 - The Executive Director will make final decisions on FMLA requests.

FLEET POLICY AND PROCEDURES

APPLIES TO: All DCC/GOED Employees

EFFECTIVE: MARCH 2008

RELATED INFORMATION, POLICY AND FORMS: *Intranet Procedures*

PURPOSE: Establish department procedure for reserving the vehicles available in fleet for use by DCC employees.

POLICY: DCC has established a policy/procedure that allows employees who are eligible to reserve vehicles from fleet to facilitate their job function. DCC vehicles located at 324 South State shall be managed by DCC's office coordinator. Otherwise divisions with fleet vehicles shall appoint a fleet coordinator in writing to manage their fleet vehicles, copying DCC's office coordinator.

Department employees are required to complete the state of Utah Division of Risk Management Driver Safety Training course before reserving or driving department fleet vehicles. The test must be submitted to the DCC Office Coordinator to obtain an Operator ID from the Department of Administrative Service, Division of Fleet Operations. Upon receiving an Operator ID, the employee will need to submit the Employee Worksheet to Fleet Services to request a gas PIN (personal ID number).

Each employee is responsible to complete the mileage log for the vehicle used and, before returning it to garage, refuel the vehicle.

Make sure all trash/personal effects have been removed. There will be NO SMOKING in any fleet vehicle at any time. All employees are encouraged to be courteous to other DCC/GOED employees who will be using fleet vehicles.

How to Reserve a State Vehicle in GroupWise for vehicles at 324 South State

- In GroupWise, click on FILE → NEW → APPOINTMENT
- Click on "Address" on the right side of the open appointment and type CE 200 (This will bring up the cars.)
- Scroll down until you find all cars and highlight all of them.
- Type in the appointment at the corresponding places date and times when you need the car.
- Click "busy?" (A calendar will come up with gray lines indicating which car and times it is busy.)
- Select the car that is available by deleting all others out of the "TO."
- Space and hit "send."
- Keys are kept at the DCC/GOED reception desk. Request them just prior to your departure from the receptionist.

Gas Card Information

Gas Cards and Fuel Network brochures are available in each car. Gas Cards are generally in the plastic jacket on the key ring. The glove box contains registration information, information on how to report an accident, and ARI information (i.e., engine trouble, road side assistance, etc.). When using the gas card, you must take it with you into the place of business before fueling and also take note of the odometer reading. It will be required to make the purchase. You will need to use your own gas PIN anytime you use the gas card. Please make sure you know your PIN. If you do not have a PIN call the DCC office at 538-8700.

Gas cards are for vehicle operation and maintenance-related expenses, such as windshield washer fluid, wiper blades, car washing/vacuuming, oil and gas. Please do not make any purchases not related to the vehicle. Supersonic locations will accept gas cards. Ask for the regular wash. DO NOT UPGRADE. Other gas card locations that have car washes will honor the use of State gas cards for a car wash as well.

Maintenance Information

Please IMMEDIATELY report maintenance issues to their divisions fleet supervisor/DCC's office coordinator. A 24-hour roadside assistance card with emergency phone numbers is located in your glove compartment. Contact ARI (1-800-CAR-CARE) with any maintenance issues that are not accident/incident related (i.e., engine trouble, road side assistance, etc.).

For vehicles assigned to specific divisions, staff should report maintenance issues to that division's fleet coordinator.

FRAUD AND THEFT

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: The purpose of this policy is to define responsibilities of individuals and management for fraud prevention, deterrence, and detection, as well as investigating irregularities, such as any dishonest or fraudulent act; any forgery or alteration of checks, warrants, or drafts; any misappropriation of funds, supplies or other assets; any irregularity in the handling or reporting of money transactions; disappearance of furniture, fixtures and equipment; or any similar or related irregularity. It is intended that all managers be aware of this policy and procedure since good business practice dictates that every suspected defalcation, misappropriation or irregularity be promptly identified and investigated.

The risk of fraud can be reduced through a combination of prevention, deterrence, and detection measures. Of the three anti-fraud approaches, it is important to place a strong emphasis on fraud prevention, which may reduce opportunities for fraud to take place, and fraud deterrence, which could persuade individuals that they should not commit fraud because of the likelihood of detection and punishment. In addition, prevention and deterrence measures are much less costly than the time and expense required for fraud detection and investigation.

POLICY:

A. DEFINITIONS:

Fraud can range from minor employee theft and unproductive behavior to misappropriation of assets and fraudulent financial reporting. Material financial statement fraud can have a significant adverse effect on an entity's market value, reputation, and ability to achieve its strategic objectives. Other fraudulent activities, though immaterial to the financial statements, can nonetheless result in substantial losses to an entity if a dishonest employee has the incentive and opportunity to commit fraud.

Fraud includes:

1. Any dishonest or fraudulent act;
2. Forgery or alteration of contracts, requests for reimbursement, check requests
3. Forgery or alteration of checks, warrants, promissory notes and securities,
4. Any misappropriation of funds, securities, supplies or any other asset
5. Any irregularity in the handling or reporting of money transactions;
6. Disappearance of furniture, fixtures and equipment;
7. Any similar or related irregularity.

Included in the above definition is any irregularity or suspicion of an irregularity involving vendors, department personnel, other state agencies (or employees thereof), grantees, sub-grantees, or unknown individuals.

B. RESPONSIBILITY:

The Office of the Internal Auditor has a responsibility to increase awareness of the risks of fraud within DCC. Training on how to deter and detect fraud should be provided to the employees of DCC.

Every employee has an obligation to report improprieties to his/her immediate supervisor. Management is responsible for preventing, deterring and detecting any improprieties. Each manager should be familiar with the types of frauds which might occur in his/her area and be alert for any indication that fraud is or was in existence in his/her area. As soon as a fraudulent activity is detected or suspected, the Office of the Internal Auditor must be contacted immediately. The Office of the Internal Auditor has primary responsibilities for the investigation or for the direction of the investigation of any suspected irregularity and will coordinate all investigations with legal counsel.

Management will support the Department's responsibilities and will cooperate with law enforcement agencies in the detection, investigation and reporting of criminal acts, including prosecution of offenders. Every effort should be made to effect recovery of department losses from the offender or from Risk Management or outside insurance.

If the investigation reveals that dishonest or fraudulent activities have occurred, reports will be issued to the Executive Director, appropriate managers and directors, and, where appropriate, the Office of the Internal Auditor shall turn such matters over to appropriate law enforcement and/or regulatory agencies for their independent investigation and final determination. These investigative activities shall be conducted by the Office of the Internal Auditor without regard to an individual's length of service or position held.

C. OBJECTIVES:

Investigations conducted by the Office of the Internal Auditor, and the reporting of appropriately documented dishonest or fraudulent activities, provide a sound foundation for the protection of the innocent, the removal of wrong-doers from the ranks of the department, appropriate judicial action when warranted by the facts, the basis for filing fidelity bond claims and civil litigation seeking recovery.

In order to accomplish these objectives, the Office of the Internal Auditor has been directed to keep its work area uniquely secure and to limit freedom of access to only those individuals with a need to conduct business.

D. DISCOVERY:

The Office of the Internal Auditor has been directed to make itself available and receptive to receiving relevant information on a confidential basis, and employees are expected to directly contact members of the Office of the Internal Auditor whenever an activity is suspected to be dishonest or fraudulent. Employees should not attempt to conduct individual investigations or interviews/interrogations in order to determine whether or not a suspected activity is, in fact, improper.

E. CONFIDENTIALITY OF INVESTIGATIONS AND RESULTS:

In order to avoid damaging the reputations of innocent persons initially suspected of wrongful conduct, and in order to protect the Department from potential civil liability, the results of investigations by the Office of the Internal Auditor will not be disclosed or discussed with anyone other than authorized representatives of law enforcement and/or regulatory agencies, and only those persons associated with the Department who have a legitimate need to know such results in order to perform their duties and responsibilities.

F. ACCESS TO PREMISES, RECORDS AND PROPERTY:

In those instances where it appears to the Internal Auditor to be in the best interest of the Department, members of the Office of the Internal Auditor have the authority and duty, after consulting with appropriate management to:

1. Take control of and/or to gain full access to all department premises, whether owned or rented; and
2. Examine, copy and/or remove all or any portion of the contents of all files, desks, cabinets and other storage facilities which are located on such premises without the prior knowledge of, or consent of, any individual who may use or have custody of such premises for use, have custody of or own any such items; and
3. Conduct such activities without regard to an individual's length of service or position held.

G. ASSISTANCE TO LAW ENFORCEMENT AND REGULATORY AGENCIES:

All requests for information and/or assistance from State, Federal and local law enforcement shall be immediately forwarded to the Office of the Internal Auditor for determination and handling. Special investigations conducted by auditors of Federal Government agencies, and any other agencies concerned with possible dishonest or fraudulent activities within the Department, shall also be forwarded immediately to the Office of the Internal Auditor for determination and handling.

H. OTHER CONSIDERATIONS:

Great care must be taken in the investigation of suspected improprieties or irregularities so as to avoid incorrect accusations or alerting suspected individuals that an investigation is under way and also to avoid making any statements which could provide a basis for a suit, for false accusation or other offenses. Accordingly, a manager should:

- Not contact the suspected individual to determine facts or demand restriction
- Not discuss the case, facts, suspicions or allegations with anyone outside the Department, unless specifically directed to do so by the Attorney General, or the Office of the Internal Auditor.
- Not discuss the case with anyone inside the Department other than the Office of the Internal Auditor, DCC Legal Counsel and only others in the manager's division who have a "need to know."
- Direct the Office of the Internal Auditor all inquiries from the suspected individual, his representative or his attorney. Proper response to such an inquiry should be, "I'm not at liberty to discuss this matter." Under no circumstances should there be any reference to "what you did," "the crime," "the fraud," "the forgery," "the misappropriation," etc.

GOVERNOR'S OFFICE/DCC EMAIL POLICY

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

POLICY: EACH MEMBER OF THE GOVERNOR'S STAFF AND ADMINISTRATIVE AGENCIES SHOULD RETAIN ALL EMAIL THAT IS (A) REQUIRED BY LAW TO BE RETAINED, OR (B) USEFUL IN CONDUCTING STATE BUSINESS. ALL OTHER EMAIL SHOULD BE DELETED AS SOON AS POSSIBLE TO CONSERVE SPACE ON THE SERVER AND TO ELIMINATE CLUTTER.

An email that is a "record" under the Government Records Access and Management Act ("GRAMA") should not be destroyed, except in accordance with the applicable archival retention policy. Every email should be considered to be a record under GRAMA unless the statute indicates otherwise. See Utah Code Ann. § 63-2-103(18)(b). Generally, when an email is used to conduct government business, it is a record under GRAMA. (However, temporary drafts or similar materials prepared for the originator's personal use or prepared by the originator for the personal use of an individual for whom he/she is working are not records under GRAMA.)

As with all other records under GRAMA, every email that is a record under GRAMA is presumed to be public unless it fits within one of the descriptions of records that are permitted or required to be classified as "private," "controlled," or "protected" as defined by Utah Code Ann. §§ 63-2-302, 303, or 304.

An email that contains only a personal message is not a record under GRAMA. If a personal message also contains information that fits the definition of a record under GRAMA, the portion constituting a record must be retained in some form (including context such as date, sender, and recipients) unless it (1) is a duplicate and the original is retained, or (2) can be deleted without violating the applicable archival retention policy.

Email that falls within the category of "Transitory Correspondence" under the retention policy — a category that includes "most day-to-day office and housekeeping correspondence" — is required to be kept only until the administrative need for the document ends. By contrast, "Policy and Program Correspondence" — i.e., those records that "document material discussions and decisions made regarding all agency interests" — must not be destroyed, and should be retained until the administrative need ends and then transferred to the State Archives Office. Each member of the Governor's staff is responsible for determining which of his or her emails constitute "Policy and Program Correspondence," which may not be deleted, and which constitute "Transitory Correspondence," which may be deleted.

Any email that is saved to a paper or electronic file or disc (or in any other acceptable format) may be deleted from the email system at any time provided the saved copy is not destroyed except in accordance with the applicable retention schedule. An acceptable format preserves at least the following contextual information: sender and recipient names (if sender and/or recipient is identified by a code, nickname, or distribution list, the full names associated with the code, nickname, or list must be retained with the email record), document title or subject line, and the date received or sent.

GOVERNOR'S OFFICE / DCC GIFT POLICY

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

POLICY: Governor Huntsman requires his staff to comply strictly with the letter and spirit of Utah Code Ann. § 67-16—55(2). Consistent with that provision, staff members may not “knowingly receive, accept, take, seek, or solicit, directly or indirectly or indirectly for himself or another, a gift of substantial value or a substantial economic benefit tantamount to a gift

- (a) “that would **tend improperly to influence** a reasonable person in the person’s position to depart from the faithful and impartial discharge of the person’s public duties;
- (b) “that the person knows or that a reasonable person in that position should know under the circumstances is **primarily for the purpose of rewarding** the person for official action taken’, or
- (c) “if he recently has been, is now, or in the near future may be **involved in any governmental action directly affecting the donor or lender**, unless a disclosure of the gift, compensation, or loan and other relevant information has been made in the manner provided in” Utah Code Ann. § 67-16-6.

Utah Code Ann. § 67-16-5(2) (emphasis added):

As explained in Utah Code Ann. § 67-16-5-(3), however, this rule does not prohibit the following:

- (a) “an occasional non-pecuniary gift, having a **value in excess of \$50**”;
- (b) “an **award** publicly presented in recognition of public services”;
- (c) “any **bona fide loan** made in the ordinary course of business”; or
- (d) “ a political campaign **contribution**.”

Id. (emphasis added).

When questions arise concerning the application of this statute, staff members are encouraged to err on the side of caution. In all events, such questions should be discussed with the Department Executive Director or the Governor’s General Counsel.

GOVERNMENT RECORDS ACCESS AND MANAGEMENT ACT (GRAMA)

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

DEFINITION: The Government Records Access and Management Act (GRAMA) is a comprehensive law dealing with the management of records.

Overview:

In all instances where a public request for DCC documentation is made, DCC will defer to the language in GRAMA. However, the Department has established an internal procedure for processing requests, including in what format and to whom requests are directed.

A. Requests

To request records held by DCC, a GRAMA form must be completed and signed. This form may be faxed or mailed to the Department Records Officer (Executive Director's Assistant). A GRAMA form is available online at <http://attorneygeneral.utah.gov/GRAMA.html>. Additional information about GRAMA and the process is also available from the Attorney General's website.

If preferred, requesting entities and/or individuals may directly contact the DCC Records Officer (Executive Director's Assistant) for a copy of the form. To avoid unnecessary charges or delay, requestors are encouraged to provide the most detailed description possible of the information sought.

B. Oversight

All DCC division directors shall designate one individual as the division records coordinator responsible for GRAMA requests for their respective division. A back-up staff member for the records coordinator is also essential.

As the primary contact for general public inquiries, DCC's Records Officer is the most appropriate individual to serve as the Department clearinghouse for all GRAMA requests. GRAMA requests from media will be directed to DCC's Public Information Officer (PIO).

DCC's Records Officer will inform requesting entities and/or individuals of the State's GRAMA policy, distribute the request to the appropriate responding division, insure a timely DCC response and maintain all GRAMA logs and documentation.

C. Cost

GRAMA provides for appropriate public access but does not impose an undue burden on public agencies.

- Entities and/or individuals making DCC GRAMA requests shall be charged 25 cents per copy. The amount charged for copies shall increase when warranted, taking into consideration the cost of paper, ink, copier wear and maintenance.
- Entities and/or individuals making a GRAMA request shall not be charged for the first 15 minutes of staff time spent fulfilling the request. For any employee time after the first 15 minutes, including, but not limited to, file search, photocopying, and re-filing documents, and hourly charge will be issued, not exceeding the salary of the lowest paid employee, who in the discretion of the custodian of records, has the necessary skill and training to perform the request, per statute.
- All employees fulfilling the GRAMA request will complete a dated log, indicating the number of copies made and employee time spent on fulfilling the request (expanded form using page 54, GRAMA Handbook and Appendix)
- Requestors will receive a detailed GRAMA receipt, indicating the number of copies and employee time spent fulfilling the request.

D. Timeframe

If the agency denies the request, the requestor can appeal to the chief administrative officer. The chief administrative officer has five business days to respond to the requestor.

Examples of extraordinary circumstances are:

Another agency is using the records.

The records are part of an audit.

Request is for a voluminous quantity or large scope of records.

Agency is processing large quantities of such requests.

GROUP GATHERINGS

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: To establish appropriate guidelines for Group Gatherings.

PROCEDURE:

A. CLIENT ENTERTAINMENT:

- A client must be present. State employees are **not** clients.
- Department level written approval is required, in advance, when using funds to pay for the following:
 - A) Spouse or other non-clients.
 - B) Liquor at a reception or similar activity
 - C) An activity or event costing over \$5,000
 - D) A reception, banquet, or other similar activity costing more than \$25 per person
 - E) Renting a helicopter, plane, limousine, or other mode of transportation, except a rental car. In addition, renting a mode of transportation is subject to Finance rules requiring a second bid, if over \$1,000, and purchasing approval, if over \$5,000. These expenses are 1099 reportable and, therefore, payment is to be made directly to the vendor.
- **Employees are not to pay for these services and expect to be reimbursed.**
- Only those required to attend for the client meeting should be invited. Often, a subsequent time will need to be planned which will require several state employees or other individuals to attend. State employees out-numbering clients is usually not appropriate.
- Division Directors must approve all client reimbursements for their staffs. No employee is allowed to approve his/her own reimbursement or an activity in which he/she has been a participant (supervisory approval should always be obtained). If there is any reason to believe the expenditures will not be approved, employees should receive written approval in advance. Prior approval will also help to avoid any processing delays.

B. CONFERENCE/RECEPTIONS & RETREATS:

A conference is a gathering in which the majority of participants are members of the public, not state employees. (See DCC policy on Agency Retreats and Conference Accommodations.)

A Retreat/Reception is a gathering in which the majority of the participants are state or other government employees.

If the estimated cost of the state sponsored group gathering is more than \$1,000, a Group Gathering Authorization form, Form FI 58, must be completed to document the estimated costs and approvals. The DCC Executive Director or designee, and the DCC CFO must approve the gathering by signing the form FI 58, regardless of the type of funds being used to fund the group gather. Any delegation of this responsibility must be in writing and maintained in the agency for audit purposes.

If the facility providing accommodations accepts state per diem rates for food and lodging, no further bids are required and State Travel Office approval is not required.

If the facility selected does not accept state per diem rates for food and/or lodging, the following applies:

- If the total cost of the group gathering is estimated to be \$1,000 or less, the best source may be selected without seeking competitive bids.
- If the total cost of the group gathering is estimated to cost from \$1,000.01 to \$5,000, then two and preferably three bids from other comparable facilities must be obtained and the facility with the lowest bid selected. If more than one bid cannot be obtained, then State Travel Office must be notified and approve the gather.
- If the total cost is estimated to be greater than \$5,000, then the State Travel Office will conduct the procurement. The State Travel Office (538-3109) must approve these gatherings.

If a Group Gathering Authorization Form is required as described above, no contract for accommodations should be signed until the FI 58 is properly approved.

This policy is meant to supplement, not to supersede, the state's Group Gathering policy, FIACCT 04-11.00. All policy and procedures in the state's Group Gathering policy apply to DCC group gatherings.

All applicable state travel policies, including lodging and meals must be followed. Please see Appendix X for current lodging and meal per diem rates.

The following information must be provided before reimbursement is made:

- Name and title of all those for whom payment is requested. Please identify whether the individual is a client, state employee, board member, etc.
- Location.
- Topic discussed and/or purpose. (Please include enough explanation for others to understand. One or two words are not usually enough, especially for large expenditures.)
- For a reception, conference, or similar activity costing \$1,000 and if per diem is not accepted, attach cost quotes obtained.
- Co-sponsor information, if applicable.
- Required approvals.
- All receipts (receipts signed by spouses or others are not appropriate.)
- A copy of the FI58 Group Gathering Form. If the cost of the group gathering is greater than \$5,000 and per diem was not accepted. The FI58 must be signed by State Travel.

The rules stated above apply whether or not the reimbursement is part of a travel reimbursement. The Department realizes exceptions to this policy will occur. However, any exception to this policy should be borne out of necessity. The reason for doing so is to be included in the reimbursement.

Gifts Awarded to those Outside of DCC:

Approval is to be obtained in advance from Division Director.

Gifts are not to be issued to state employees.

Gifts costing more than \$100 each require Division AND Department level approval.

The following information is to be provided at the time of approval:

- Name(s) of the clients.
- Associated institution.
- Description of the gift to be purchased.
- Reason or purpose for the gift.

Estimated cost. Submit receipt with letter of approval for the reimbursement. Deviations of more than 10% from estimate will require approval of division director before payment.

Payments for obtaining an inventory of gifts will require department level approval and include the information required in 'Gift' section. Items costing over \$20 each will be inventoried. A record of recipients will be kept and then matched to the original purchase document.

State Finance Purchasing Policies and Procedures must be followed.

C. Official Board Meetings:

Any time entertainment monies are used for a board function, the meeting should be called for board purposes.

Department level pre-approval is required when submitting documentation for payment. Also include a copy of the agenda.

D. Employee Lunches and Meeting Refreshments:

Department payment of employee lunches is only allowed when the cost is included as part of a meeting or registration fee. Such payments should be coded 6276 (Conventions, Workshops and Committees) rather than 6271 (Receptions and Entertainment.)

Employees will not be reimbursed for lunches with other state employees. This is not a client entertainment or a "business lunch."

Using state funds to pay for refreshments at employee meetings requires the program manager's approval. The written approval, a list of attendees, a copy of the agenda and receipts are required for payment to be made from state funds.

State Purchasing Policies and Procedures must be followed.
ts costing more than \$100 each require Division AND Department level approval.

HAND-HELD DEVICES

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

IT RELATED POLICIES: Information Technology Acceptable Use Policy, Information Technology Central Pool Purchasing Policy, Information Technology Purchasing Procedures, Information Technology Printing/Printers Policy, Information Technology Internet Dial-Up Account, Cell Phone Policy

PURPOSE: With continued growth in the purchase of hand-held electronic organizers (Palm Pilot, Blackberry or TREO), the Department has established a policy for the purchase and support of these products. Although these devices can increase productivity, not every employee works in the same manner. The IT team has found a number of these devices end up not being used because of false expectations of what the devices can do. In order to prevent this, the Department has established a check-out pool. A device can be checked out of this pool to allow evaluation of its use and during times of repair. This small pool of hand-held devices would allow the employees to trial the device to determine if it fits their work style.

POLICY: This policy covers the purchase, support and use of hand-held electronic organizer products, including Blackberry, TREOs Palm Pilots, Handspring Visors, Windows CE and Pocket PC devices. A set of standard hardware and software products has been selected and is listed below. The users are responsible for the daily operation and support of their own device. This standard will be reviewed and updated annually by the Department's IT Steering Committee.

PROCEDURE:

Purchase

To purchase a hand-held electronic organizer the employee must have their division director submit their requirements and reason for purchase to DTS. Once it has been determined the need for a hand-held device exists, one will be ordered and billed to the individual program.

Standard

In order to provide the best quality product to the employee at the lowest cost to the taxpayer, the Department has established the following products as its standards.

- Handspring Visor Professional
- Each hand-held device will also require the purchase and installation of Puma Technology Intellisync for synchronizing with GroupWise.
- Standard for users needing basic calendaring & scheduling functions

Consideration

Employees wishing to purchase devices not listed in the standard must submit additional justification in writing to DCC's IT Director for approval. Upon review, the IT Director may recommend one of the following devices as secondary standards based upon employee needs:

- **Windows CE devices**
- **Compaq iPaq or HP Jornada** (About same size as Visor, rechargeable battery, color screen, Word and Excel programs)
- **Palm OS devices:** Palm Vx (Smaller and lighter than the Visor)

Support

The Department's Information Services team will provide minimal training and support of handheld devices. Users should perform regular backups of data on the handheld. If the device malfunctions, the IT team will contact the vendor and arrange for replacement or repair at the user's expense. The Department's IT team will coordinate support issues with Puma Technologies. As new version of Intellsync is available, the IT Team will notify users that should upgrade.

Ownership

Upon leaving the Department, the employee should understand the handheld device and all corporate data (contact names, numbers) are the property of the Department and cannot be transferred to the employee or other departments or corporations.

IDENTIFICATION CARDS

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: To make all reasonable efforts to insure the safety of employees and visitors.

POLICY: Employees who work at or visit 324 South State Street are to wear state identification badges. Staff at the front desk will keep the front door locked and employees will need to utilize their magnetic card to access the floor. This is in addition to the existing policy of having non-employees register at the front desk and wait until an employee ushers them in.

DCC employees at all other locations should also wear state identification badges. These are safety measures designed to limit risk to employees and visitors.

PROCEDURE:

- Employees who do not have a picture state ID badge need to contact DCC's Office Coordinator. Your picture will be taken and an ID card issued.
- Employees who do not have an access card or have lost their access card need to contact HCD's Michael Johnson or Gary Spangenberg.

INCLEMENT WEATHER POLICY

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

Due to the possibility of heavy snowfall in the Salt Lake area please keep in mind the following:

1. Contrary to the practice of many years ago, the State no longer declares a general snow day with administrative leave in response to heavy snow or other natural conditions.
2. Decisions about how to staff the offices of government and to provide essential services are to be made by each department, rather than by the Governors Office.
3. Agency leaders should try to keep offices open and essential services operating, while taking into consideration the safety of employees, as well as the public's reasonable needs and expectations. There is no clear cut rule, and circumstances will vary by location and by agency.
4. Widespread grants of leave beyond the offices and employees affected by the conditions are inappropriate.
5. Employees who were scheduled to be out on a day when an office is forced to close are not to be allowed to take leave on another day. The leave is an accommodation for uncontrollable circumstances, not a vacation day.

INCENTIVE PROGRAM

APPLIES TO: All DCC EMPLOYEES

EFFECTIVE DATE: July 1, 2007 (For Fiscal Year 2008)

Related Form: Incentive Award Nomination

PURPOSE: The Department of Community and Culture has established an Incentive Awards Program to recognize and reward employees who demonstrate exceptional effort or accomplishments clearly beyond key performance standards and expectations, as defined in their annual performance management form based on the Division and Department Balanced Score Cards.

POLICY:

FY 2008 funds to provide Incentive Awards may not exceed 1% of the division's or office's total salaries and wages, regardless of the funding source. An additional \$35,000 is set aside for the Executive Director to use, department-wide, to make awards for exceptional performance.

In accordance with Human Resource Management Rule R477-65(2), performance awards may be granted based on the following parameters:

- The amount awarded to an employee may not exceed \$4,000 per occurrence and \$8,000 during a fiscal year.
- Each Division/Office Director may award cash incentives consistent with this policy.
- Divisions and Offices may not make incentive awards based solely on an employee's annual performance appraisal rating, even if it is exceptional.
- Final approval for the awarding of certificates of commendation, cash awards, and non-cash awards will be made by the Executive Director.
- Only employees or groups of employees who, consistent with the DCC Performance Ratings Guidelines, demonstrate exceptional effort or accomplishment beyond that which is normally expected on the job for a unique event or over a sustained period of time may be eligible for this program.

Employees with an overall unsatisfactory performance review within the last ninety (90) days, those currently on a corrective action plan, or those who received a disciplinary action within the last year, are not eligible for this program.

The funds to compensate employees for incentive awards will come from their respective division/office budgets. The awarding of all incentives is subject to availability of funds, as determined by the Division/Office Director in consultation with their fiscal officer. Division/Offices are encouraged to set aside funds specifically for this program; however, budget for this program, if not used in FY 2008, may not be carried over to the next fiscal year.

All awards must be documented, evaluated, and approved consistent with this policy. A copy of each award will be maintained in the individual employee file.

CRITERIA AND ELIGIBILITY:

The purpose of this policy is to establish processes to recognize and reward exceptional individual, team, and/or group accomplishments that exceed normal expectations. To be considered for an incentive award, performance must meet one of the following criteria:

1. Improvement in Department Operations: Applied creative ideas, initiative, and leadership, or invested significant time, to improve agency functions.
2. Statewide Benefits and Public Service: Increased or improved public service/safety/health or reduced duplication of statewide efforts (such as improved interagency data systems, communication, and coordination).
3. Cost Savings or Revenue Enhancements within the Department. Actions saved significant dollars and/or time and/or improved revenue flow.
4. Outstanding Work Effort: Exceeded normal job responsibilities and expectations for a unique event or over a sustained period of time.

CATEGORIES OF AWARDS:

The following incentives are available to reward employees who meet the criteria as detailed in this policy:

1. Certificates of commendation or letters of appreciation may be issued by the Executive Director.
2. Cash Awards amounts, when approved by the Executive Director, will be based on the following classifications:

CLASS I: \$100.00 to \$500.00. Performance that has had a significant effect on the individual's immediate co-worker's efficiency or results in cost-savings or significant benefits to the division/department.

Example: An employee develops a new procedure, which significantly reduces paperwork, eliminates a form, or uses technology to speed up paper transfers.

CLASS II: \$501.00 TO \$1,500.00. The exercise of leadership and/or initiative beyond that which is required in an individual's assignment; an employee who is willing to meet emergency or unusual deadlines; an employee who accepts and performs assignments not associated with one's regular duties or assignments; or an employee who initiates an increase or improvement of public service or reduces duplication of efforts.

Example: A major request for information is received which requires employees across divisions to participate in collecting data and putting it into a coherent format.

CLASS III. \$1,501.00 to \$4,000.00. Superlative performance or actions that affect great consequences to the office/division/department (or the state as a whole) and/or have a lasting influence. A new administration action which results in more efficient services or significant cost savings within the division and/or department.

3. Non-cash awards, not to exceed \$50 in value per occurrence and no more than \$200 in a fiscal year, as approved by the Executive Director, will be based on the following:
 - Non-cash incentive awards may include cash equivalents such as gift certificates or admission tickets.

- The following items are acceptable non-cash incentives: Caps, shirts, jackets, mugs, key rings and similar miscellaneous items
4. A combination of certificates of commendation, cash awards, and non-cash awards may be granted at the discretion of the Executive Director.

PROCEDURE:

1. General Procedures for all types of Service Recognition Awards:
 - a. Nominator(s): A Service Recognition nomination may be initiated by a department employee(s) who have direct knowledge of the achievement of the employee(s) being nominated.
 - b. Forms: Nominations for all types of awards shall be made using the Department of Community and Culture's Incentive Awards Nomination form. A separate form shall be submitted for each employee, even if several are being nominated for the same accomplishment.
 - c. Timelines: Nominations shall be made as soon as possible but no later than six (6) months of the date of the occurrence of action for which the employee is being nominated.
 - d. All cash awards must be documented and placed in the employee's personnel file.
2. Procedure for Cash Awards:
 - a. Nominations will be made using the Department of Community and Culture's Incentive Award Nomination Form and submitted to the Division/Office Director in which the nominated employee works. The form shall be completed with care taken to provide a detailed description of the performance, project, activity or event performed by the employee(s) being nominated.



- b. The completed form will be forwarded to the supervisor of the nominee. The supervisor receives the nomination and within ten (10) days, reviews to ensure the nominee's performance is an exceptional effort or accomplishment beyond what is normally expected as defined in the employee's performance management contract and meets the criteria for award as defined in this policy. The supervisor notes his/her recommendation as to approval/disapproval and signs the form. If the supervisor does not agree with the nomination, he/she shall attach reasons for his/her disapproval.
 - c. The division/office director receives the nomination within thirty (30) days, recommends approval or disapproval of the nomination and signs the form. The Director may request additional information and/or interviews. In order for the award to be considered by the Executive Director, the division or office director must recommend approval of the award. The form is then forwarded to the Executive Director, who makes the final determination on the award.
3. Procedures for Non-Cash Awards: The number of Non-Cash Awards issued by each Division/office and approved by the Executive Director will be tracked on a monthly basis. Information tracked will include the names of all recipients, the reason(s) for the award consistent with this policy, and the types of award given.
4. Procedures for Certificates of Commendation or Letters of Appreciation.
 - a. Each division/office will develop and implement a process and procedure to grant approved awards consistent with this policy.
 - b. Nominations will be submitted on the Incentive Award Nomination form to the director of the division/office in which the nominated employee works. The division//office director will review the nomination and forward it to the Executive Director's Office for final consideration. The division/office director will include a recommendation stipulating the reasons why the nominations should or should not be approved by the Executive Director.
 - c. The Executive Director reviews the nomination and makes the final decision.
 - d. The Executive Director will forward all material to the DCC HR Office for final processing.
5. Records: Records of all nominations received by the Executive Director will be maintained by the DCC HR Office.

INFORMATION TECHNOLOGY ACCEPTABLE USE POLICY

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

RELATED FORMS: *Acceptable Use Policy Signature Sheet*

PURPOSE: DCC has adopted the State's Acceptable Use Policy for Information Technology. Below are a few bullet points on what is acceptable use and what is not.

Incidental and occasional personal use is permitted, as long as such use does **not**:

- interfere with existing rules or policies of an agency
- disrupt or distract the conduct of state business (e.g., due to volume or frequency),
- involve solicitation,
- involve a for-profit personal business activity,
- have the potential to harm the state, or
- involve illegal activities

Note: Any resources used for personal use that incurs a cost must be reimbursed to the state.

Examples of unacceptable use include: illegal use, commercial use, sexually explicit use, religious or political lobbying, copyright infringement, wasting resources, violating security, spreading viruses, sending junk mail, and transmitting confidential information without proper security controls.

Because IT resources are subject to monitoring by authorized individuals during the performance of their duties, **the first and foremost rule for using IT resources is: Don't say, do, write, view, or acquire anything that you wouldn't be proud to have everyone in the world learn about if electronic records are laid bare.**

DEPARTMENT OF COMMUNITY & CULTURE
INFORMATION TECHNOLOGY ACCEPTABLE USE
SIGNATURE SHEET

Division: _____

Employee: _____
Last name First Middle

SS#: _ _ _ _ _ _ _ _ _ _

I have access to and have read the "DCC Information Technology Acceptable Use Policy."
It is my intention to comply with this policy.

Employee's signature Date

Supervisor's signature Date

cc: Personnel File

INFORMATION TECHNOLOGY CENTRAL POOL PURCHASING POLICY

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: The purpose of the Information Technology Central equipment pool is to provide for a consolidated purchase and management of all IT resources and establish a uniform/standard implementation and replacement cycle

What will be purchased from the Central Pool?

- New purchase of desktop and laptop computers
- Replacement and upgrades to existing desktop and laptop computers
- Replacement and upgrades to printer
- Replacement of items not covered under maintenance (monitors, hard drives, cd/cdrw/dvd drives)
- Special technology projects that involve special hardware/software or consultant work
- General infrastructure, i.e., servers, switches, storage devices, projectors, etc.

What will not be purchased from the Central Pool?

- Maintenance of existing or new equipment
- Purchase of supplies (paper, toner, diskettes, cds,)
- Purchase of additional peripheral equipment (mice, trackballs, keyboards, speakers, external storage devices)
- Purchase of division specific software products (FileMaker Pro, GiftMaker Pro)
- Hardware and software required to telecommute (modems, phone lines, software)

Procedure for distribution of central funds:

Each division will be allocated funds and/or new equipment relating to one-fourth of their current WAN count, multiplied by the current defined purchase price for a new computer.

MEDIA COMMUNICATIONS

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: The public not only has a right to know how we conduct ourselves while in public service, but they benefit from knowing more about our department and the resources we manage. The media explains our work to the public. If we want our work to be correctly represented we must set and meet high standards of professionalism when working with the media. Our professionalism is measured by our orderliness, responsiveness, credibility, and truthfulness. To aid with our professionalism the Department of Community and Culture will follow this strategy when working with the media:

Orderly — In a department as diverse and complex as ours, we must interact with the media in an orderly fashion. Direct all media inquiries about the Department of Community and Culture through the communications director (DCC Public Information Officer). The communications director schedules all media interviews for the Department executive director and executive office staff. Media inquiries for a division of the department will be directed to the appropriate division information specialist who will schedule media interviews for staff of that division. The division director is the spokesperson and will address the media, unless a staff member is appointed to do so. The communications director (DCC PIO) is notified of these requests and how they are responded to.

Spokesperson—The executive director is the spokesperson for the Department. The communications director is the spokesperson when the executive director is unavailable for comments to the media. Unless otherwise directed, the deputy director and communications director are the only people who speak for the executive director.

Timely— Respond to media inquiries promptly. Usually this means within two hours. Carefully monitor incoming calls, email, pages, walk-ins and faxes requesting information from the Department. If a reporter is under a tighter deadline, we try to accommodate the request.

Should there be any uncertainty to the nature of a media request, to whom to direct the request, or a request regarding a potentially controversial matter, do not delay the request. Promptly refer the reporter or inquiry to the DCC communications director (DCC PIO).

Fairly— Treat the media with respect and fairness.

Forthrightly— Answer media inquiries candidly. If information is still under development, refer the request to the designated spokesperson for an accurate response.

MOONLIGHTING POLICY

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

RELATED POLICY: *Ethics Act and Conflict of Interest*

PURPOSE: The purpose of this policy is to establish a set of standards clarifying the conditions under which moonlighting or freelancing is acceptable.

POLICY: DCC employees are employed by the State of Utah, working on behalf of the State of Utah and the taxpayers. Employees who “moonlight” or freelance, utilizing the same skills or talents to perform services for vendors or clients may be in conflict, as they are paid for by the State for performing the same services. These services are considered a form of dual employment that interferes with the primary duties.

The Department of Human Resources Management Rules R477-9. Employee Conduct, subsection 2 outside employment status the following:

1. Outside employment must not interfere with an employee’s efficient performance in his/her state position.
2. Outside employment must not conflict with the interests of the agency or the State of Utah.
3. Outside employment must not give reasons for criticism or suspicion of conflicting interests or duties.
4. Employees shall notify Division Director in writing if the outside employment has the potential or appears to conflict with Title 67, Chapter 16 “Employee Ethics Act”.
5. The Division Director may deny employees permission to engage in outside employment or to receive payment if they determine the outside activity causes a real or potential conflict of interest. Additional information is provided below:
 - a. The employee may file a grievance of this decision.
 - b. Failure to notify the employer and gain approval for outside employment may be grounds for disciplinary action if the secondary employment is found to be a conflict of interest.

OPEN FLAMES IN OR NEAR OFFICES

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

POLICY:

In cooperation with the State Fire Marshall's Office, the Department of Community and Culture strictly prohibits potpourri, candles, incense, or any other open flame item. As measures of health and safety, the burning of any above listed item is prohibited. Left unattended, these items have the potential to cause serious harm and/or damage to employees, customers, and state/personal property.

The only acceptable occasion to burn candles is in celebration of a birthday or other special event/activity within a program, division or the Department, in which the candles are promptly extinguished.

Employees who violate this policy will be subject to consequences which may result in disciplinary action — dependent upon the severity of the offense.

OVERTIME AND COMPENSATORY TIME POLICY

APPLIES TO: DCC Employees (Career Service, AD, AL, AJ, and TE)

EFFECTIVE: MARCH 2008

RELATED FORMS: *Overtime (OT) Approval Request*

POLICY: The Department generally discourages overtime for its employees. All overtime must be pre-approved. Unless there are extenuating circumstances, overtime should be held to a minimum. Prior approval must be obtained at the division director level before an employee works any overtime.

- Department-approved overtime is to be compensated through compensatory time (referred to as comp time) or paid overtime. FLSA non-exempt employees (referred to above) are encouraged to indicate this on their Over-time Compensation Election/Agreement Form upon employment with the Department.
- Approved non-exempt overtime shall be compensated at the rate of one-and-a-half hours for each hour worked in excess of 40 hours in a work week, excluding all leave and holiday time. Straight time shall be compensated for all FLSA exempt employees and AM employees in excess of 80 hours worked in a two-week pay period, excluding all leave and holiday time.
- The Department discourages the accumulation of comp time for FLSA non-exempt employees to levels that would require it to be paid at the end of the overtime year. If excessive overtime occurs, divisions are encouraged to limit overtime through one of the following options:
 - *eliminate any non-critical assignments
 - *better utilize information technology to automate time-consuming tasks
 - *reassign workload among existing staff
 - *determine if additional personnel are required within the division (divisions may hire temporary personnel for a period not to exceed 90 days to complete tasks.)

Division directors may authorize the use of comp time for division employees. Comp time is based on the 40-hour work week, which is from Saturday through Friday, (unless employees are in a compressed workweek) for FLSA non-exempt employees. Comp time should be taken as soon as possible, preferably within the pay period in which it was earned. However, exceptions may occur when, due to workload, it is impossible for the employee to take the time during the workweek. In this case, division directors may allow employees to accrue comp time. Program directors/managers shall encourage employees to use accrued compensatory time within (30) days following the pay period in which it was accrued, as long as taking compensatory time off does not unduly disrupt agency operations or endanger public health, safety, or property. (Refer to DHRM R477-86 (6).

COMP TIME LIMITS

Accrued comp time for FLSA non-exempt employees represents a division liability, subject to payment upon transfer, termination, retirement, or death. Non-exempt employees may receive comp time for overtime up to a maximum of 80 hours. For FLSA exempt employees, any accrued comp time at the end of the overtime year adopted by DCC (pay period 15) shall lapse. The Department may pay down non-exempt comp time (except for division directors) at any time if approved by DCC's executive director or designee. In addition, any compensatory overtime earned by FLSA exempt employees shall lapse when they transfer to another agency, terminate, retire or otherwise do not return to work before the end of the overtime year.

FLSA EXEMPT DIVISION DIRECTORS

Division Directors are expected to complete their responsibilities, regardless of the number of hours worked. However, it is anticipated that directors will use prudence in not working excessive hours, which would affect their effectiveness, outside interests, families, and/or health.

If a unique situation develops where a director must work "excessive" hours within a concentrated period, a director shall notify DCC's Executive Director and the Executive Director may approve comp time within the current or following pay period.

Each director is required to complete a time sheet indicating that he/she worked at least 80 hours during the pay period.

PAY PERIODS/HOLIDAYS

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

RELATED INFO: [2008 Pay Period Calendar](#)

PURPOSE: The purpose of this policy is to provide information regarding the schedule of pay period dates, holidays, and paydays.

POLICY: The Division of Finance shall provide for Human Resource Management System users a schedule of pay period and pay check dates.

Those employees who participate in the alternate schedule program and work more four ten hour days or eight nine-hour days will only receive 8 hours of holiday pay. The difference can be made up with annual leave or the employee will not be compensated for lost hours.

As illness and emergencies are not always anticipated, employees are advised to complete their time-card on a daily basis.

PAY PERIOD CALENDAR

2008 SCHEDULE OF PAY PERIODS AND HOLIDAYS

PAY PERIOD	BEGIN DATE	END DATE	CHECK DATE	DATE HOLIDAY OBSERVED	HOLIDAY DESCRIPTION
01	01/12/2008	01/25/2008	02/08/2008	1/21/2008	(M) MLK, Jr. Day
02	01/26/2008	02/08/2008	02/22/2008		
03	02/09/2008	02/22/2008	03/07/2008	02/18/2008	(M) Washing/Lincoln Day
04	02/23/2008	03/07/2008	03/21/2008		
05	03/08/2008	03/21/2008	04/04/2008		
06	03/22/2008	04/04/2008	04/18/2008		
07	04/05/2008	04/18/2008	05/02/2008		
08	04/19/2008	05/02/2008	05/16/2008		
09	05/03/2008	05/16/2008	05/30/2008		
10	05/17/2008	05/30/2008	06/13/2008	05/26/2008	(M) Memorial Day
11	05/31/2008	06/13/2008	06/27/2008		
12	06/14/2008	06/27/2008	07/11/2008		
13*	06/28/2008	07/11/2008	07/25/2008	07/04/2008	(F) Independence Day
14	07/12/2008	07/25/2008	08/08/2008	07/24/2008	(Th) Pioneer Day
15	07/26/2008	08/08/2008	08/22/2008		
16	08/09/2008	08/22/2008	09/05/2008		
17	08/23/2008	09/05/2008	09/19/2008	09/01/2008	(M) Labor Day
18	09/06/2008	09/19/2008	10/03/2008		
19	09/20/2008	10/03/2008	10/17/2008		
20	10/04/2008	10/17/2008	10/31/2008	10/13/2008	(M) Columbus
21	10/18/2008	10/31/2008	11/14/2008		
22	11/01/2008	11/14/2008	11/28/2008	11/11/2008	(T) Veterans Day
23	11/15/2008	11/28/2008	12/12/2008	11/27/2008	(TH) Thanksgiving Day
24	11/29/2008	12/12/2008	12/26/2008		
25	12/13/2008	12/26/2008	01/09/2009	12/25/2008	(Th) Christmas Day
26	12/27/2008	01/09/2009	01/23/2009	01/01/2009	(Th) New Year's Day

* This year, 3 days (Sat., Sun., and Mon.) fall in fiscal year 2008 and 11 days (Tues., Wed., Thu., Fri., Sat., Sun., Mon., Tues., Wed., Thu, and Fr) of pay period #13 fall in fiscal year 2009. The Payroll System will automatically separate regular hours worked and leave hours used between the old fiscal year and the new fiscal year.

DEPARTMENT OF COMMUNITY & CULTURE

PERFORMANCE MANAGEMENT & DEVELOPMENT PROCESS GUIDELINES

The Department of Community and Culture has established a mission statement and goals that drive our operation and culture:

MISSION STATEMENT

To enhance the quality of life for people of Utah, DCC creates, preserves and promotes community infrastructures.

VISION STATEMENT

DCC will be a dynamic catalyst for creating cultural change. We will anticipate and respond to the varied needs of our constituents. We will expand public and private partnerships to deliver tangible results that produce meaningful differences in the lives of Utahns.

DEPARTMENT GOALS

DCC will invest in its employees to create and retain a highly productive and talented workforce.

DCC will create and execute a strategic communications plan to heighten awareness about the Department.

DCC will seek and maintain strategic partnerships.

DCC will maximize the efficient use of resources.

DCC will create and execute a long-range strategic plan, emphasizing measurable outcomes.

OVERVIEW

The Performance Management & Development Process is designed to provide feedback to the employee regarding his or her goals, performance, skills, ability, knowledge, behavior and career development.

The process consists of three parts that occur throughout the fiscal year:

1) Plan:

- Clearly communicate expectations and standards.
- Set individual goals and deliverables, aligned with department initiatives and values.
- Define individual development plans.

2) Support:

- Maintain two-way communication.
- Provide and solicit ongoing coaching and feedback.
- Re-align goals and deliverables to changing business priorities.
- Reinforce positive behavior with appropriate reward and recognition.
- Initiate and respond to corrective actions.

3) Review:

- Summarize accomplishments for the previous quarter.
- Gather performance feedback and supporting documents.
- Discuss previous performance and feedback.
- Agree upon development goals.

PLAN

The planning phase of Performance Management & Development consists of two key components:

Aligning and Setting Goals – Planning for individual goals and deliverables aligned with department initiatives and values.

Development Planning – Planning for employee development to support the skills, knowledge and behavior for long-term career objectives

Aligning and Setting Goals:

Organizational goals and initiatives are established to best position the Department for success. These goals and initiatives cascade into each division where team/group initiatives are aligned. Managers work with their teams to communicate broad department and division initiatives as context for setting individual goals and deliverables.

As part of the Performance Management and Development process, all employees should set individual goals that support the Department's organizational initiatives and balanced scorecards. Employees may also set goals designed to plan for skill and career development.



Development Planning:

Development Planning supports personal development that is mutually beneficial to the operation of the Department, and is a shared responsibility between the employee and the manager. Employees work with managers to assess their career and identify development needs. Managers partner to provide coaching and resources to help align employee and business needs. Each employee should create a development plan focused on learning priorities and career aspirations. Ultimately employees “own” their own development and career growth.

Development Planning has three focus areas: Assessment, Alignment & Action

Assessment

- Identify what is important to you based on your values and skills.
- Use management expectations to assess your strengths and development needs.
- Seek feedback from your manager, a mentor or your peers.

Alignment

- Identify the future goals and priorities of your program.
- Identify management expectations and determine what is most important to you.
- Obtain feedback from your manager to determine if there is agreement on the importance of the manager’s expectations and future priorities.

Action

- Create a development plan that consists of three to five goals, which reflect your career interests as well as the needs of the Department/division.
- Identify resources to support you in achieving your development, i.e., education, experience and exposure.
- Discuss your goals with your manager and reach agreement on a development plan that includes specific actions, resources and target completion dates.

Applying development activities with a mix of education, experience and exposure, results in accelerated, more effective and lasting knowledge and skill development.

Education

Learning through Resources

Activities such as:

- * E-Learning Programs
- * Instructor-Led Courses
- * Selected Readings
- * Professional Conferences

Experience

Learning through Doing

Activities such as:

- * On-the-Job Tasks
- * Special Assignments
- * Cross-Functional Projects
- * Provide Mentoring or Coaching
- * Teach
- * Deliver Presentations

Exposure

Learning through Others

Activities that offer you the opportunity to learn from others, such as:

- * Seek Feedback
- * Develop a Peer Network
- * Join Professional Organizations
- * Find a Mentor
- * Find a Coach
- * Shadowing
- * Visibility Opportunities

SUPPORT

During the year it is important that the manager and employee collaborate to form a partnership that ensures effective performance and continuous improvement.

Employee's Role and Responsibilities:

- Clear understanding of performance expectations
- Ensure individual goals stay aligned with department initiatives
- Provide regular updates on performance to plan
- Execute goals and deliverables and continuously strive to achieve stretch results
- Pursue assignments that will provide development, challenge and cross-functional impact
- Be accountable for continuously improving skills
- Actively participate in the Performance Management Process
- Solicit feedback

Manager's Role and Responsibilities:

- Review employee goals and deliverables, ensure they drive high-performance results and align with department initiatives
- Empower employee and remove obstacles as needed
- Assign, prioritize and modify work, projects and goals as required by the business
- Track accomplishments considering multiple view points
- Communicate department results and relevant information
- Provide timely feedback is necessary
- Partner with HR as appropriate
- Provide coaching and mentoring support

PERFORMANCE REVIEW

Performance review is designed to evaluate employee work performance:

- Review goals achieved
- Provides an opportunity for open, candid and constructive dialogue
- Assessment of educational/career development
- Other factors include: attitude, judgment/autonomy, empowerment, dependability, quality/quantity of work, interpersonal relationships/teamwork, specialized expertise

The process is also designed to set effective goals, provide feedback regarding performance, skills, ability, knowledge, behavior and career development.

Preparing for the Review Process:

- The employee should:
 - Complete the review form with past roles, goals, status, results and your past development results and future plans
 - Provide a self-assessment on your performance for each goal
 - Ask your manager if you have questions regarding future performance goals or development plans
 - Prepare to spend at least one hour with the manager
 - Plan to listen to both positive and constructive comments
 - Ask any questions for clarifications or ask for examples to clarify a point
 - Take time to respond thoughtfully
 - Listen to comments and respond non-defensively
 - Consider the feedback at least overnight before signing the document
 - If, after signing the document, you wish to add additional comments, they will be kept with the review and will be placed in the employee personnel file
- The manager should:
 - Gather input on employee from customers, peers, feedback sessions and other team members
 - Review employee goals and results, add the manager's assessment of results, provide an overall summary of the employee's performance and development and include an overall rating
 - Prepare to spend at least one hour with the employee
 - Ensure atmosphere is free from interruptions
 - Plan to deliver positive messages and constructive development comment
 - Bring any notes and specific examples
 - Consider leadership expectations

Frequency of Reviews

- Quarterly reviews will be held with each employee at the Division director's discretion.
- Form needs to be completed by both the employee & then sent to the manager for review
- Manager will enter a "yes" or "no" for each goal
- Meeting will then be scheduled for discussion purposes
- If performance on goals is "no," a corrective action plan will be established
- Original copy will be sent to the HR Office for filing purposes

DCC PERFORMANCE RATING GUIDELINES

- X** Clearly performs in an exceptional manner in all areas
- E+** Performs higher than expected for this position
- E** Meets all key performance expectations
- E-** Performs lower than expected for this position
- N** Needs improvement in one or more key performance areas

RATINGS DETAILED

X: Clearly performs in all exceptional manner in all areas

The X rating indicates the employee achieves superior results and has shown exceptional abilities.

Benchmark levels:

- Demonstrates exemplary teamwork and collaboration
- Consistently delivers solutions that make a more significant business impact than expected
- Works independently in a highly competent/reliable manner, requiring little/no supervision
- Work is of high caliber and exceptional quality
- Meets or exceeds all deadlines and customer expectations
- Is seen as a leader / effective team player among his or her peers and has a positive influence on the productivity and effectiveness of the group
- Seeks and applies feedback to improve performance
- Proactively seeks development opportunities while maintaining current responsibilities

E+: Performs higher than expected for the position

The E+ rating indicates the employee exceeds expectations and exhibits a higher level of performance than is expected for the position.

Benchmark levels:

- Demonstrates exceptional teamwork and collaboration
- Initiatives achieved more business impact than expected
- Performs routine responsibilities consistently well and exceeds the normal scope of job requirements
- Demonstrates highly efficient use of resources in accomplishing duties
- Requires less managerial follow-up than is expected, based on experience level in organization
- Accepts feedback from others and strives to integrate the feedback into daily performance
- Proactively seeks development opportunities while maintaining current responsibilities

E: Meets all key performance expectations

The E rating indicates the employee achieves expected results for the position.

Benchmark levels:

- Demonstrates teamwork and collaboration
- Initiatives achieved expected business impact
- Performs routine responsibilities well, delivers results within scope of job requirements
- Demonstrates an efficient use of resources in accomplishing duties
- Requires an expected level of managerial assistance and guidance
- Accepts feedback from others and applies the feedback to work situations
- Willingly participates in development opportunities while maintaining current responsibilities

E-: Performs lower than expected for this position

The E- rating indicates the employee fails to achieve desired performance levels, delivers lower than expected results for the position.

Benchmark levels:

- Does not demonstrate teamwork and collaboration on a consistent basis
- Initiatives achieved less than expected business impact
- Performs routine responsibilities with mixed results/does not consistently deliver results within scope of requirements
- Occasionally fails to meet critical deadlines with projects and customers
- Demonstrates a poor use of resources in accomplishing duties
- Requires a higher than expected level of managerial assistance and guidance
- Has difficulty applying constructive feedback from others
- Has trouble balancing development opportunities and maintaining current responsibilities

N: Needs improvement in one or more key performance areas

The N rating indicates the employee shows unacceptable performance for the position. The manager/supervisor will initiate a Corrective Action Plan to help the employee improve his or her performance.

Benchmark levels:

- Does not demonstrate teamwork and collaboration
- Initiative achieved significantly less business impact than expected
- Consistently performs one or more aspects of the job below expectations
- Work is completed late and/or over budget
- Requires a greater amount of managerial follow-up than expected
- Development opportunities regularly interfere with completing job responsibilities
- Is not open to feedback from others and is generally perceived as difficult to work with

UTAH DEPARTMENT OF COMMUNITY AND CULTURE

**PERFORMANCE REVIEW FY 2007-2008
AND DEVELOPMENT PLAN FY 2007-2008
FOR INDIVIDUAL CONTRIBUTORS**

Please note that you may complete this document in Microsoft Word if you like,
which has the advantage that the space for answers will be automatically expanded.

Name:	EIN No:	Division: Department of Community & Culture
Position:		
Supervisor:	Review Date:	Status: <input type="checkbox"/> Exempt <input type="checkbox"/> Non-Exempt

Overall Performance Rating as Summarized on final page* _____

* DCC Performance Rating Guidelines

- X Clearly performs in an exceptional manner in all areas; goals over achieved
- E+ Performs higher than expected for this position; goals more than met
- E Meets all key performance expectations; goals met
- E- Performs lower than expected for this position; goals partly met
- N Needs improvement in one or more key performance areas; goals not met

Signatures (Indicating that document has been reviewed)

Employee:	Date:
Manager:	Date:
Division Director:	Date:
Executive Director:	Date:

Part II: Employee Actions/Goals FY 2006-2007

Employees rate their performance in the 'Employee Rating' column with the codes: N=Not Met, E=Met, E+=More Than Met, X=Over Achieved
The manager will use the same codes to rate employee performance in the last column.

A. Department Goals	Employee Actions/Goals	Metrics/Target	Target Date	Employee Rating	Manager Rating

Part III: Employee Goal/Actions FY 2007-2008

Each employee has responsibility for helping to accomplish one or more of the Department Goals listed below. You may also have responsibility for one or more Business Initiative in your Division. For each goal and initiative where you have responsibility, list the actions you are undertaking to help accomplish that objective, describe the Metrics of how you will measure results and the Target level of success to be achieved. More than one employee action may be listed for a department goal or business initiative.

Actions/goals should be specific, measurable, attainable, realistic and tangible (S.M.A.R.T. Goals).

DCC is committed to supporting short-term and long-term development efforts that help you achieve your individual goals, further the aims of the Department, and further your career. In preparation for completing this section, discuss your personal development with your manager. Include at least one goal related to Technical/Functional Training and at least one goal related to Management Development.

Cross-functional teamwork and collaboration are essential to improve DCC productivity and effectiveness. Define with your manager a specific and measurable goal to improve productivity and effectiveness through teamwork and collaboration. Define with your manager a specific and measurable goal to improve the work climate.

A. Department Goals	Employee Actions/Goals	Metrics/Target	Target Date	Employee Rating	Manager Rating

Part III: Employee Goal/Actions FY 2007-2008

Each employee has responsibility for helping to accomplish one or more of the Department Goals listed below. You may also have responsibility for one or more Business Initiative in your Division. For each goal and initiative where you have responsibility, list the actions you are undertaking to help accomplish that objective, describe the Metrics of how you will measure results and the Target level of success to be achieved. More than one employee action may be listed for a department goal or business initiative.

Actions/goals should be specific, measurable, attainable, realistic and tangible (S.M.A.R.T. Goals).

DCC is committed to supporting short-term and long-term development efforts that help you achieve your individual goals, further the aims of the Department, and further your career. In preparation for completing this section, discuss your personal development with your manager. Include at least one goal related to Technical/Functional Training and at least one goal related to Management Development.

Cross-functional teamwork and collaboration are essential to improve DCC productivity and effectiveness. Define with your manager a specific and measurable goal to improve productivity and effectiveness through teamwork and collaboration. Define with your manager a specific and measurable goal to improve the work climate.

A. Department Goals	Employee Actions/Goals	Metrics/Target	Target Date	Employee Rating	Manager Rating

PETTY CASH POLICY

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: To create department policies and procedures regarding the use of Petty Cash funds.

POLICY: Expenditures from petty cash funds are limited to insufficient postage, court filings fees, registration, office supplies, parking fees (while attending local meetings), film processing and purchasing, certified mail charges, photocopies and binding, minor repairs on equipment, and other small incidental items that are not available through state purchasing contracts. Purchases of supplies or services in amounts of less than \$50 that are not available on state purchasing contracts should be made from petty cash funds or with P-Cards. This avoids the more costly processing of Warrant Requests.

Petty cash funds may not be used for:

- Employee travel reimbursement or wages
- Cashing of personal checks
- Loans (IOU's) to employees or others
- Utility bills
- Registration, professional fees, and memberships

Each disbursement is to be supported by a receipt, which indicates the amount paid and which is signed by the payee and approved by the fund custodian and/or the immediate supervisor.

All petty cash funds must be replenished at least once a month or on an as needed basis. Division directors have the authority to modify petty cash funds in their division as needed.

All petty cash funds must be submitted for reimbursement at the end of each fiscal year by June 30, so that all expenditures are made on or before June 30 can be expended in the proper year.

Each division shall have a petty cash fund custodian that will be responsible for the fund.

Each division should have an employee independent of the Petty Cash custodian to conduct periodic reconciliation of the Petty Cash funds.

PROCUREMENT APPROVALS

APPLIES TO: All DCC Employees

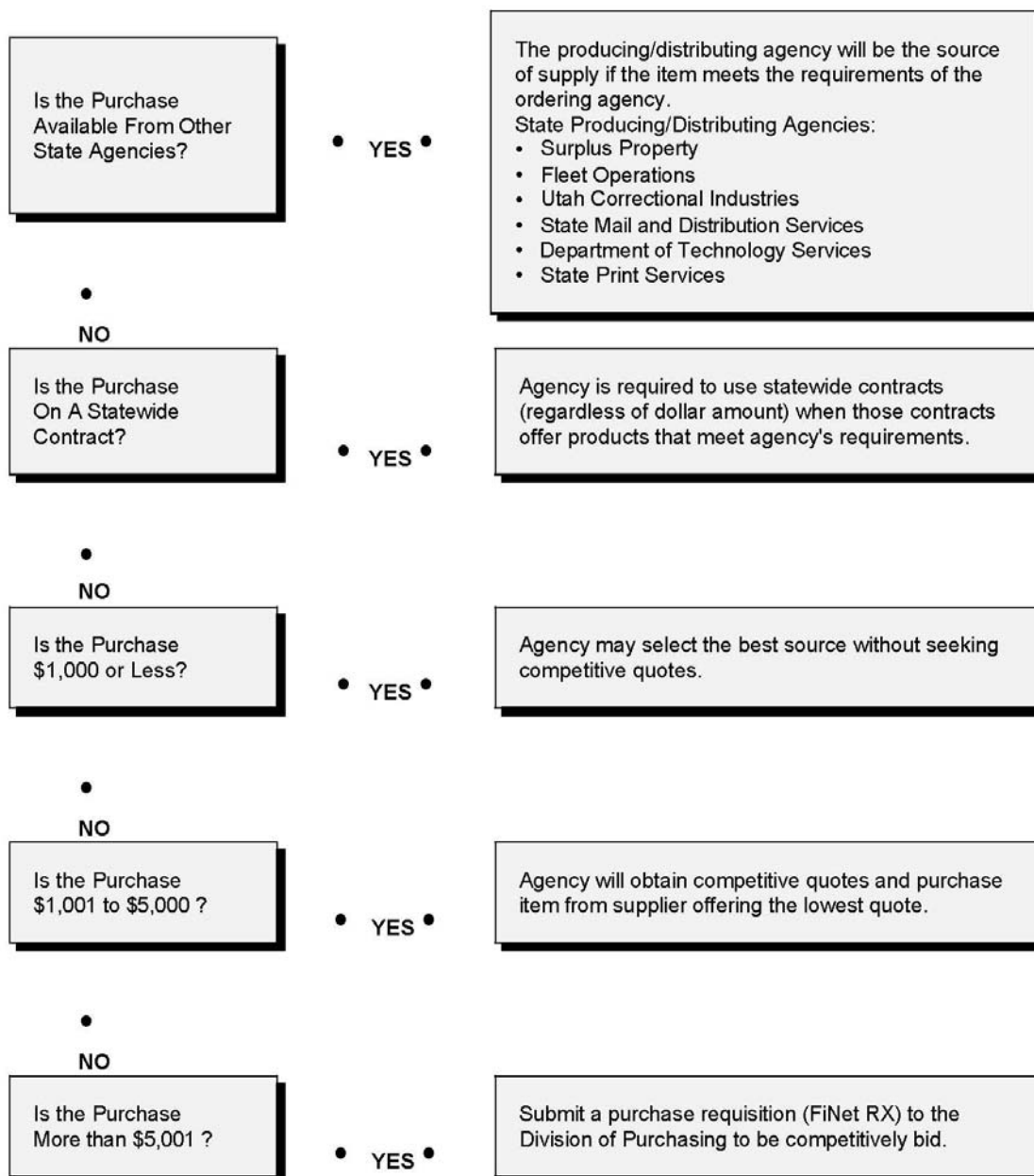
EFFECTIVE: MARCH 2008

PURPOSE: To ensure agency compliance with State Procurement Policy and Procedure

POLICY:

- I. For purchase items that exceed \$1,000 but are less than \$5,001 the purchaser will:
 - Verify that a statewide contract is available. If a statewide contract is available, agency is required to use statewide contracts when those contracts offer products that meet agency's requirements.
 - If no statewide contract is available, obtain competitive quotes from three or more suppliers.
 - Provide the division budget officer, or designee, with the spec sheet and statewide contract or quote sheets for compliance with state purchasing policy.
 - Upon approval from division budget officer, or designee, place order with approved supplier.
- II. For purchase items that exceed \$5,000 the purchaser will:
 - Verify that a statewide contract for the service or goods is available and utilize that contract.
 - If no statewide contract is available, submit a purchase requisition and list of preferred suppliers to division budget officer, or designee, to be competitively bid.
 - Upon State Purchasing approval, write contract with approved supplier.
- III. For *sole source* purchase items that exceed \$1,000 the purchaser must obtain approval from the Division of Purchasing using Purchasing's designated request forms.
- IV. All employees are to be familiar with the State Purchasing Policy diagram (page 115).

UTAH STATE PURCHASING POLICY



Note: All sole source procurements greater than \$1,000 must be pre-approved by the Division of Purchasing using a Sole Source Request form and/or a purchase requisition form. This flow chart is for informational purposes only. Refer to Purchasing Policies and Procedures for more detailed information, or telephone the Division of Purchasing (801) 538-3026.

Revision: May 2006

PRODUCTIVITY STEP ADJUSTMENT

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE:

To provide the Department an option to utilize and reward employees with a salary increase for accepting additional workloads which are beyond normal expectations for the job; and which was assigned because of a reduction in work force.

POLICY:

In accordance with DHRM Rules R477-7.6(9) "Agency management may, at its discretion, establish policies designed to reward those employees who are willing to assume additional workload with a salary increase up to four steps. Employees at the top of their pay ranges (or in longevity) would be given a one-time 2.75% lump sum bonus award."

PROCEDURE: Process for requesting

- A cost-savings suggestion can be made by an employee, division director, or management.
- Both parties (employee and management) must reach a performance plan agreement.
- The request should include a Memorandum outlining the justification, the Job ID and the low org number and the DHRM-9 to delete the current vacated position. (Position must remain abolished for a minimum of one year.)
- Request should include documentation of the additional duties to be assumed by the affected employee (s).
- Attach an updated performance plan to verify consistent improved personal efficiency and a higher level of service delivery/productivity to accommodate an increased workload. The workload increase shall not result in accrual of additional overtime hours (nor shall the workload increase be contrary to the existing affected employee's position classification).
- Attach a DHRM-33 to the request with the specified step increase (not to exceed four steps).
- The total dollar increase, including benefits being awarded shall not exceed 50% of the saving generated by the elimination of the position. The dollar increase determination shall include the complexity of additional workload and responsibilities as well as quantity.
- The request must be approved by either the division director or by the executive director.

Once agreed upon, the employee cannot grieve the action.

EXCEPTIONS: One time only, while in the same position control number.

SICK LEAVE ASSISTANCE PROGRAM

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

Related Forms: *Request for Leave Assistance From Sick Leave Bank, Leave Bank Donation Request*

PURPOSE:

The purpose of the Sick Leave Assistance Program (leave bank pool) is to provide needed sick leave to qualifying department employees. The program is intended to aid employees who have a serious accident or illness which requires extended absence from work and whose leave benefits have been, or will be, exhausted. This policy is not intended to underwrite abusive use of sick leave. Employees in the Department will be notified when and for whom sick leave hours are needed.

POLICY:

This policy applies to all divisions within the Department of Community and Culture and employees who are either full- or part-time who accrue leave and other benefits.

A. Donating hours:

- The sick leave assistance will be composed of annual leave hours, voluntarily donated by department employees.
- Any department employee eligible for annual leave benefits may donate annual leave to the Sick Leave Assistance Program.
- Employees will be limited in the amount of hours they may donate only to the extent of their annual leave.
- Only annual leave, excess hours, compensatory time earned by an FLSA non-exempt, (appointed or temporary) employee, and converted sick leave hours may be donated to Sick Leave Assistance Program.
- Hours in excess of 320 at the end of the year are automatically put into the Department's Sick Leave Assistance Program.
- Employees may donate only annual leave hours to the Department's Sick Leave Assistance Program.
- Employees desiring to donate annual leave must submit their request on the State of Utah Application for Leave form D50.
- The leave bank will be maintained by the Human Resource office.
- Donated hours are a non-tax deductible gift.

B. Use of Donated Hours:

- Only employees eligible for leave benefits shall be eligible to utilize this program.
- The maximum number of donated hours for full-time employees shall be 1040 per accident or illness. Part-time employees shall not exceed 520 hours per accident or illness.
- If an individual does not use all of the leave available in the leave bank, the leave automatically will go into the sick leave pool.

C. Limitations:

- Hours donated may not be used until all other forms of useable leave are exhausted, and when appli-

cable, disability benefits are not yet available or are exhausted.

- Hours donated may not be utilized at the same time as Worker's Compensation benefits.
- All use of the Sick Leave Assistance Program shall be subject to post audit.

PROCEDURE:

A. Requesting Sick Leave Assistance:

- Any employee who has had a serious accident or illness and whose leave benefits have been or will be exhausted may request sick leave assistance hours for their use. Applications should be made, if possible, prior to the employee going on leave-without-pay status.
- The employee's supervisor or the Division Director may also request the benefit on behalf of the employee if he/she is unable to do so.
- The request should include the employee's name, the date when all leave benefits will be exhausted, the date the employee is eligible for long term disability and a statement from a physician describing the illness, its severity, the prognosis, and an estimate of how much work will be missed.
- The Executive Director may overrule any decision.

B. Processing Request:

The Human Resource office will consult with the division director for his/her approval or disapproval in writing. If approved, the correspondence will outline the number of hours approved (not to exceed 1040) and the person for whom it is intended.

Upon approval, the Human Resource office will notify employees in the Department of the need for donated hours, giving the name of the individual and the approximate number of hours needed. There will be no solicitation for donated leave by the affected or any other employee.

Employees donating the leave shall indicate in the remarks section of the leave form that they are voluntarily donating it to the bank for the individual requesting it. The Human Resource technician processing the donation shall debit the donor's leave and will maintain the appropriate documentation.

The Human Resource technician will credit the requesting employee's account with the appropriate number of hours and maintain a leave bank file.

Names of the individuals will be kept confidential, unless specified by the individual to release his/her name. The individual receiving donated leave will not receive information on hours donated by each individual.

Any unused hours will be taken from the account of the employee receiving the leave and will be maintained in the leave bank pool.

SUBSTANCE ABUSE

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

POLICY: Department of Community and Culture employees are prohibited from unlawfully manufacturing, dispensing, distributing or using any controlled substance or alcohol during working hours, on state property or while operating a state vehicle while on duty, except where legally permissible.

A. REASONABLE SUSPICION

When, during work hours, there is reasonable suspicion that an employee is using or is impaired through the unlawful use of a controlled substance or alcohol, an employee may be required to submit to medically accepted testing procedures to determine whether the employee is using a controlled substance or alcohol in violation of federal or state law. All drug or alcohol testing shall be conducted by a federally certified or licensed physician, clinic or testing service approved by DHRM. Drug and alcohol tests with positive results or a possible false result shall require a confirmation test.

B. CORRECTIVE ACTIONS

Management may take corrective action or disciplinary action if:

1. There are positive confirmation test for illegal drugs;
2. An alcohol test results shows .08 percent blood alcohol content or less if management's determination is that the employee is impaired.

Supervisors and managers may, in addition to the corrective or disciplinary action refer employees whose results are positive, (convicted of a controlled substance) or found to be abusing alcohol to a rehabilitation center within 30 days after receiving notice of the occurrence, DCC management may require an employee referral to a rehabilitation center depending on his/her performance or the criticality of the incident. An employee undergoing rehabilitation shall be granted sick leave, annual leave or leave without pay for in-patient treatment. Employees must sign a Release of Information form to allow the transmittal or verbal or written progress reports between DCC and the treatment provider.

C. DISCIPLINARY ACTION

1. Employees who fail to complete the prescribed treatment without a valid reason may be placed under disciplinary action.
2. Any employee who refuses to submit to drug or alcohol testing may be subject to disciplinary action, including termination.

D. RECORD KEEPING:

DCC's Human Resource office shall keep a separate, private record of drug or alcohol test results. The employee's official personnel file shall only contain a document making reference to the existence of the drug or alcohol test record.

TRAVEL RULES

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

RELATED FORMS: *All related forms can be found at www.finance.state.ut.us*

PURPOSE: DCC has developed a mini-policy and procedure policy for use by employees. For detailed travel information, refer to State of Utah Accounting Policies and Procedures, section FI ACT 10-02.00.

POLICY: This policy is to establish guidelines for in-state and out-of state travel.

PROCEDURE:

Before making travel arrangements, an employee must present a document that outlines the purpose of the travel request and it must be job-related and approved by the supervisor and the division director. The state has contracted with an outside travel agency that has an office in the State Office Building to provide central reservation assistance for the following services:

In-state travel airline and rental car needs. Travelers should normally secure their own in-state lodging reservations. The maximum per diem for lodging is \$60 plus tax for reimbursement. For exceptions, including Salt Lake City and St. George, see Appendix X.

Out-of-state travel, airline, rental car, and hotel/motel needs. Maximum amount for lodging is the federal rate or less (see Appendix X). If lodging reservations are made through the State Travel Office or the employee is attending a conference and staying at the conference hotel, actual costs will be reimbursed. For State Travel call 538-3109 or 538-3350.

The Division of Finance will not honor any reimbursement requests for airline or rental car arrangements not made through the State Travel Agency. Exceptions to this policy may be granted when the travel is paid by a third party other than the state and the third party makes the arrangements and payments directly through their own travel agency.

Central Travel Account (CTA): All airline tickets must be purchased using the Central Travel Account. Airline tickets purchased and issued through this account are **not** reimbursed to the employee. *Tickets purchased by the employee that are charged to an individual credit card or by a MasterCard Corporate Card will not be reimbursed by the state.*

Reimbursement by a Third Party:

1. An employee who receives a travel reimbursement from a third party for travel on state business should not be enriched by the reimbursement beyond what the travel policy allows. For example, if an employee is paid \$60 per day by a third party for an out-of-state meal allowance, the difference between the state rate of \$43 and the rate paid must be deposited with the state. An employee who receives from the third party less than the state rate can be reimbursed by the state for the difference.

2. Travel expenses reimbursed by a third party may be treated in one of the following ways:

- Deposit the third party reimbursement with the State as a refund of expenditure and obtain a regular travel reimbursement from the State.
- Retain the amount reimbursed by the third party, up to the amount allowed by the State travel policy, and accept no state reimbursement.
- For unique circumstances that prevent you from following the policy, contact State Travel at 538-3109 or 538-3350.

MasterCard Corporate Card: Employees should use the cards for payment of official state travel expenses except commercial airlines. (Refer to MasterCard Corporate Policy.) Expenses include hotels/motels, meals, car rentals, books, fees and registration.

Meals included in registration fee and complimentary meals. Per diem will not be paid.

However, meals on airlines will not reduce the meal allowance. Meals provided at a “Bed and Breakfast” will reduce the breakfast meal allowance.

Lodging other than a Hotel/Motel: Employees who stay with friends or relatives rather than a hotel/motel or uses a personal camper or trailer home, the travel will be reimbursed as follows (see also Appendix X):

- \$25 - No receipts required.
- Actual cost up to \$40 with a signed receipt (campers or trailer homes, not private residence).

Driving a Private Vehicle Instead of Flying: Written pre-approval by the Department/Division director is required. Reimbursement will be for the lesser of mileage or constructive airline fare. The higher mileage rate amount is allowed, if approved by the Department/Division Director. However, the total cost of the trip cannot exceed the equivalent cost of the airline trip. The private vehicle rate includes toll fees, parking, etc. Meals and lodging are allowed for a reasonable driving time; however, any extra driving time taken beyond reasonable time during the employee’s normal work week will be taken as annual leave. Rental car rates cannot be used to calculate the private vehicle rate.

Incidental Travel Expenses: The traveler will be reimbursed for actual out-of-pocket costs for incidental items such as baggage tips and toll fees. An original receipt is required for each employee.

Incidental Ground Transportation / Parking Expenses: Employees will be reimbursed for the use of taxi, bus, parking and other ground transportation expenses as follows:

- Airport parking– Maximum amount, airport or other, is the Salt Lake City Airport’s long term parking rate.
- For individual amounts less than \$20 submit a schedule of payments including date, to destination, from destination, type of travel, location, and dollar amount.
- The State will reimburse employees only for airport long-term parking, not for short-term airport parking.
- For individual amounts of \$20 or more submit an original receipt for each item.
- A receipt is required for a parking reimbursement, even if the amount is less than \$20.

Non-Over-night Trips. Meal per diem may be paid for an officially approved trip, if the destination is at least 100 miles from “home base” the traveler does not stay overnight.

Breakfast: Traveler leaves before 6:01 a.m.

Lunch: When trip meets one of the following conditions.

- Trip warrants entitlement to breakfast and dinner.
- Traveler leaves “home base” before 10:00 a.m. and returns after 2:00 p.m.
- Division/department provides prior written approval.

Dinner: Traveler leaves home base any time during the day and returns after 7:00p.m.

Personal Phone Calls While Traveling: Personal telephone calls made while out of town overnight on state business will be reimbursed. The traveler must provide an original lodging receipt or an original personal phone bill showing the number called and the dollar amount.

One through three nights –number of nights times \$2.50.

Four nights -actual amount to \$10.

Five to eleven nights-actual amount up to \$20.

Twelve to thirty nights-actual amount up to \$30.

TRAVEL RATES-EFFECTIVE JULY 1, 2007

- Use of private vehicle 48.5 cents per mile with confirmation that a state fleet vehicle was not available, otherwise 36 cents per mile up to 15,000 total miles during a calendar year.
- Private vehicle instead of flying 36 cents per mile or constructive airfare, whichever is less.
- Private aircraft: 50 cents per mile.
- Private motorcycle: 16 cents per mile.

IN-STATE TRAVEL:

Meals: The basic meal allowance for a 24-hour period of travel is \$35 to be computed as follows see also Appendix X:

Breakfast	\$8
Lunch	\$11
Dinner	\$16
Total	\$35

The meal reimbursement is determined by the time of day the traveler leaves his/her “home-base” (the location the employee leaves from and/or returns to), the days at the location, and the time of the day he/she returns to his/her “home-base.”

Tips and tax on meals are included in the per diem amount. **Alcohol is not reimbursable.** The 24-hour period is divided into four quarters.

Leave Home Base	Amount Reimbursed
1st qtr-leave between 12:01 a.m. and 6:00 a.m.	\$35
2nd qtr-leave between 6:01 a.m. to noon	\$27
3rd qtr-leave between 12:01 p.m. and 6:00 p.m.	\$16
4th qtr-leave between 6:01 p.m. and midnight	\$0
Return to Home Base	Amount Reimbursed
1st qtr-return between 12:01 a.m. and 6:00 a.m.	\$0
2nd qtr-return between 6:01 a.m. and noon	\$8
3rd qtr-return between 12:01 p.m. and 7:00 p.m.	\$19
4th qtr-return between 7:01 p.m. and midnight	\$35

Lodging

- Non-Conference Hotel (traveler makes own reservations). Actual cost up to \$60 plus tax.
- Conference Hotel (traveler makes own reservations). Actual cost plus tax.
- Exceptions allowed if specifically approved in writing by the Division/Department director or designee, or State Travel makes reservations.

OUT-OF-STATE TRAVEL:

Prior approvals are required and signed by the supervisor, division/director. (Request for Out-of-State Travel Authorization [FI 005_FY7] refer to the attachment).

Meals: The basic meal allowance for a 24-hour period of travel is \$43 to be computed as follows (see also Appendix X):

Breakfast	\$10
Lunch	\$13
Dinner	\$20
Total	\$43

For **premium cities** (New York, Chicago, Washington D.C., Atlanta, Los Angeles, San Francisco, San Diego, Orlando, Baltimore, and Boston) the traveler may choose to accept the per diem rate to be reimbursed at the actual meal cost up to **\$57 per day. Alcohol is not reimbursable.**

To qualify for premium rates for a given day, the traveler must be entitled to **all** meals for that day. A combination of per diem and actual may be used; however, one method or the other must be used for each full day. Receipts must be submitted for the premium cities.

The meal reimbursement is determined by the day of the traveler leaves his/her “home-base” (the location, the employee leaves from and/or returns to), the days at the location, and the time of day he/she returns to his/her “home-base”. Tips and tax on meals are included in the per diem amount. The 24-hour period is divided into four quarters.

Leave Home Base	Amount Reimbursed
1st qtr-leave between 12:01 a.m. and 6:00 a.m.	\$43
2nd qtr-leave between 6:01 a.m. to noon	\$33
3rd qtr-leave between 12:01 p.m. and 6:00 p.m.	\$20
4th qtr-leave between 6:01 p.m. and midnight	\$0

Return to Home Base	Amount Reimbursed
1st qtr-return between 12:01 a.m. and 6:00 a.m.	\$0
2nd qtr-return between 6:01 a.m. and noon	\$10
3rd qtr-return between 12:01 p.m. and 7:00 p.m.	\$23
4th qtr-return between 7:01 p.m. and midnight	\$43

Lodging

- Non-Conference Hotel (traveler makes own reservations through the state contract travel agency): Actual cost plus tax.
- Non-Conference (traveler makes own reservations): Federal lodging rate plus tax.
- Conference Hotel (traveler makes own reservations): Actual cost plus tax.
- Exceptions allowed if approved in writing by the Department director or designee prior to the trip.

PROCEDURES FOR REIMBURSEMENT:

Forms

Submit a State Employee Travel Reimbursement Request, form FI 51 A or FI 51 B, for travelers on the State Payroll System or a Non-State Employee Travel reimbursement Request, form FI 51 C or FI 51 D, for travelers not on the State Payroll System. For mileage reimbursement, submit a Private Vehicle Usage Report, form FI 40 A or FI 40 B. Form FI 51A or FI 51B is also allowed if other travel costs are being reimbursed. These forms must have the traveler’s original signature verifying the expenditures.

Documentation

Attach appropriate documentation to the reimbursement request. See State of Utah Accounting Policies and Procedures (FIACCT 10-02-02) for required documentation. When an employee chooses to drive on state business rather than fly, the traveler must attach to the reimbursement form an airfare printout from State Travel that shows the lowest prices for flights to the desired destination. The printout is available only from the State Travel Administrator. Call the Administrator at 538-3109 or 538-3350 to request the printout. **Do not call travel agents for this documentation.**

UNLAWFUL HARASSMENT POLICY AND COMPLAINT PROCEDURES

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: It is the State of Utah's policy to:

- A. Provide all employees a working environment that is free from unlawful harassment based on race, religion, national origin, color, sex, age, protected activity or disability, **and**
- B. Comply with State and Federal laws regarding discrimination based on unlawful harassment.

POLICY:

- A. Unlawful harassment means: *discriminatory treatment based on race, religion, national origin, color, sex, age, protected activity or disability*. Discrimination based on unlawful harassment will not be tolerated. Violators shall be subject to corrective action or disciplined, and may be referred to criminal prosecution. Discipline may include termination of employment.
- B. Unlawful harassment includes the following subtypes:
 - 1. behavior or conduct in violation of Subsection R477-15-2(1) that is unwelcome, pervasive, demeaning, ridiculing, derisive, or coercive, and results in a hostile, offensive, or intimidating work environment.
 - 2. behavior or conduct in violation of above-mentioned of Subsection R477—15-2(1) that results in a tangible employment action being taken against the harassed employee.
- C. The imposition of corrective action and discipline is governed by R477-10-2 and R477-11.
- D. An employee shall be subject to corrective action or discipline for unlawful harassment towards another employee, even if that harassment occurs outside of scheduled work time or work location, provided that the harassment meets the requirements of Subsection R477-15-2(2).
- E. Once a complaint has been filed, the accused shall not communicate with the complainant regarding allegations of harassment.

RETALIATION:

- A. No person may retaliate against any employee who opposes a practice forbidden under this policy, or has filed a charge, testified, assisted or participated in any manner in an investigation, proceeding or hearing under this policy, or is otherwise engaged in protected activity.
- B. Any act or retaliation toward the complainant, witnesses or others involved in the investigation shall be subject to corrective action or disciplinary action.

Prohibited actions include:

- Open hostility towards complainant, participant or others involved.
- Exclusion/ostracism of the complainant, participant or others involved.
- Creation of or the continued existence of a hostile work environment.
- Discriminatory remarks about the complainant, participant or others to demeaning duties not otherwise performed.
- Tokenism or patronizing behavior.
- Discriminatory treatment.
- Subtle harassment.
- Unreasonable supervisory-imposed time restrictions on employees to prepare complaints or compile evidence of unlawful harassment activities or behaviors.

COMPLAINT PROCEDURE:

Individuals affected by unlawful harassment may file complaints and engage in an administrative process free from bias, collusion, intimidation or retaliation.

- A. Individuals who feel they are being subjected to unlawful harassment should do the following:
 - Continue to report to work
 - Verbalize disapproval of the actions to the perpetrator and demand that it cease
 - Document the occurrence
 - Identify a witness
- B. A complaint of unlawful harassment may be submitted, in accordance with an agency's approved complaint procedure, directly to DHRM, the Anti-Discrimination and Labor Division (UALD) or the Equal Employment Opportunity Commission (EEOC). Complaints may be submitted by any individual, witness, volunteer or other employee. Complaints may be made through either verbal or written notification and shall be handled in compliance with confidentiality guidelines. Any supervisor who has knowledge or unlawful harassment shall take immediate, appropriate action and document the actions.
- C. Any complaint of unlawful harassment must be acted upon following receipt of the complaint.
- D. If an immediate investigation by the agency is not warranted, a meeting shall be held with the complainant, the supervisor or manager of the appropriate division, and others as appropriate to communicate the finds and management's resolution of the complaint.

VIOLENCE IN THE WORKPLACE

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

POLICY: The Department of Community and Culture prohibits violence or threats in the workplace. It is the responsibility of each employee to be aware of and adhere to this policy and report any violations to appropriate management. Any employee found to have violated this policy will be subject to disciplinary action, up to and including termination of employment.

DEFINITION:

Workplace Violence: Workplace violence is any act of physical, verbal or written aggression by an individual that occurs at or is related to the workplace. This includes inflicting bodily injury, threatening language, both verbal and written, threatening gestures, intimidation, harassment, and/or actual physical fighting by an employee.

Weapons: For purposes of this policy, weapons are defined as any item handled with the intent to cause bodily harm or physical damage. Firearms or weapons of any kind (including hunting weapons) are prohibited in the workplace, in the Department (or motor pool) vehicles, or in an employee's possession while on department business. Personal chemical dispensers, such as "mace" or "pepper spray" are considered primarily defensive in nature, with a low potential for serious personal injury. They are considered narrow exceptions to the weapons prohibition, provided they are used reasonably and in a defensive manner. Employees who choose to carry such sprays on the job are responsible for the correct usage (defensive) of these products and may be subject to discipline for any inappropriate or irresponsible use of these sprays.

PROCEDURE:

Management of Threats, Harassment, or Acts of Intimidation:

Employees who receive a personal threat or who are being harassed through the receipt of mail or phone calls which are related to their employment, shall immediately notify their supervisor. Once aware of the threat, supervisors must immediately report the threat to their respective division director, who will take appropriate action by notifying the appropriate police department.

VOLUNTEER SERVICE

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

RELATED FORMS: *Volunteer Service Agreement*

PURPOSE: The purpose of this program is to allow division directors/program managers and supervisors a mechanism to obtain volunteers to assist them in completing programs or projects.

POLICY: With DCC's limited resources, this policy provides a mechanism to utilize volunteers to assist DCC staff on various programs or projects. It also gives individuals an opportunity to utilize their expertise and/or an opportunity to work in a governmental environment.

PROCEDURE:

These procedures are designed to protect the Department and the volunteer. It also provides volunteers with Worker's Compensation Insurance. Volunteers who assist divisions/programs must complete and sign the attached Application for Volunteer Placement and the Volunteer Service Agreement.

- If the volunteer is to drive a state vehicle or drives their own vehicle on state business, he/she must have/present a valid Utah driver's license and the expiration will be recorded on the Volunteer Service Agreement form.
- The volunteer must also review the state SAFE Driving video and take the accompanying test.
- The Application for Volunteer Placement, an executed Volunteer Service Agreement and a Volunteer Job Description (driver license/driving record if applicable) will be retained by the Human Resource office for each volunteer.
- A copy of the above-mentioned documents will be provided to the volunteer and division director/program manager/supervisor.

WORKER COMPENSATION

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

POLICY:

It is the policy of the State of Utah, Department of Community and Culture, to develop programs to reduce on-the-job injuries and/or occupational diseases.

PROCEDURES:

All injuries and/or occupational diseases occurring on-the-job should be reported to the Human Resource Management.

- Assess the nature of and the severity of the injury, when appropriate.
 - Minor abrasions, cuts, etc.— treat with first aid.
 - Non-urgent minor injuries—assure safe transportation to the nearest emergency room or urgent care center.
 - Life and limb threatening—Call 911.
- Seek appropriate, timely, and safe medical care.
- Utilize preferred hospital provider(s) as identified in the booklet Worker's Compensation Fund of Utah Preferred Provider Hospital and Physician Network.
- Notify designated medical treatment facility that employee is in route to the facility and the nature of the injury, when appropriate.
- Notify employee's emergency contact.
- The employee, supervisor, or the Human Resource personnel needs to complete the First Report of Injury form (122). Distribute the First Report of Injury within seven (7) days of the event.
- Complete and distribute Risk Coordinator's Accident Investigation and Corrective Action Report within fourteen (14) days of the event.
- Report in OSHA 200 log, as appropriate.

WORK TIME, LUNCH & BREAK SCHEDULES

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

POLICY: The Department of Community and Culture's policy on working conditions shall comply with the Department of Human Resource Rule R477-8-2.

Tasks shall be assigned and wages paid in return for work compensated. There is the expectation that a fully competent employee is capable of completing the assigned workload within a normal 40-hour workweek.

8-8-2.(1) Work schedules shall be set up provide adequate staff coverage during the normal business hours of the agency. State offices are open from 8:00 a.m. to 5:00 p.m. Monday through Friday.

The Department of Community and Culture (DCC) employees include personnel who work with DCC on a full-time, part-time, merit Schedule B, exempt Schedule A, temporary or volunteer basis.

All DCC employees are expected to work, or account with approved leave, an eight-hour (8) work schedule beginning at 8:00 a.m. and continuing until 5:00 p.m., unless otherwise approved as outlined in R477-8.2.2. DCC policy requires additional approval of the employee's immediate supervisor, and the division director.

8-8-2.(2) Where an agency operates on a typical weekly work schedule, employees may, with approval of their immediate supervisor, select a daily starting time between 7:00 and 9:00 a.m.; and a quitting time between 4:00 and 6:00 p.m., so long as an approved work schedule is completed each scheduled workday.

DCC's policy on lunch and break periods shall comply with the Department of Human Resource Management Rule R477-8-5:

8-8-3: Each full-time employee's work day shall include a non compensated minimum of 30 minutes for a lunch period and two 15 minute work break periods—one that is in the morning and one in the afternoon. A 15-minute break period shall be allowed for each 4-hour schedule actually worked.

Lunch periods normally will be scheduled to begin between the hours of 11:00 a.m. and 11:00 p.m. for a regular day shift. Break periods are included in eight productive work hours. These lunch break periods may not be adjusted or accumulated to accommodate for a shorter workday.

It is the policy of DCC that all employees take a one-hour lunch period unless another work schedule has been pre-approved. DCC policy requires the approval of the employee's immediate supervisor, and the division director. Lunch schedules should be staggered within each division to have office coverage at all times. Lunch time cannot be used or accrued to: (1) begin a later workday time; (2) shorten the workday schedule; or (3) make for a longer lunch period on any day.

ACCEPTABLE USE OF INFORMATION TECHNOLOGY RESOURCES

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: This policy defines the use of State-owned information technology (IT) resources.

BACKGROUND: Information technology resources are provided to assist in the efficient day-to-day operations of the agency. DCC provides information technology resources such as computers, email, electronic voice and video communications, the Internet and other technologies to DCC employees to assist in achieving their mission and goals, and to improve State government in general.

SCOPE: This policy applies to all employees within the Department of Community and Culture.

POLICY: DCC employees shall regularly review, be familiar with, and follow the requirements of Utah Administrative Code, R895-7 – Acceptable Use of Information Technology Resources. An employee who violates the provisions of R895-7 may be disciplined pursuant to Utah Administrative Code, R477-11 and applicable DCC rules.

GUIDELINES:

DCC managers should make certain that:

- DCC employees understand that providing IT resources to an employee does not imply an expectation of privacy.
- DCC employees understand that when a DCC employee has violated R895-7, disciplinary action may be imposed in accordance with the provisions of DHRM rule R477-11.

RELATED DOCUMENTS:

- Utah Administrative Code, R895-7 (attached)
- Utah Administrative Code, R477-11

R895. Technology Services, Administration.

R895-7. Acceptable Use of Information Technology Resources.

R895-7-1. Purpose.

Information technology resources are provided to state employees to assist in the efficient day to day operations of state agencies. Employees shall use information technology resources in compliance with this rule.

R895-7-2. Application.

All agencies of the executive branch of state government including its administrative sub-units, except the State Board of Education and the Board of Regents and institutions of higher education, shall comply with this rule.

R895-7-3. Authority.

This rule is issued by the Chief Information Officer under the authority of Section 63F-1-206 of the Utah Technology Governance Act, Utah Code, and in accordance with Section 63-46a-3 of the Utah Rule-making Act, Utah Code.

R895-7-4. Employee and Management Conduct.

(1) Providing IT resources to an employee does not imply an expectation of privacy. Agency management may:

(a) View, authorize access to, and disclose the contents of electronic files or communications, as required for legal, audit, or legitimate state operational or management purposes;

(b) Monitor the network or email system including the content of electronic messages, including stored files, documents, or communications as are displayed in real-time by employees, when required for state business and within the officially authorized scope of the person's employment.

(2) An employee may engage in incidental and occasional personal use of IT resources provided that such use does not:

(a) Disrupt or distract the conduct of state business due to volume, timing, or frequency;

(b) Involve solicitation;

(c) Involve for-profit personal business activity;

(d) Involve actions, which are intended to harm or otherwise disadvantage the state; or

(e) Involve illegal and/or activities prohibited by this rule.

(3) An employee shall:

(a) comply with the Government Records Access and Management Act, as found in Section 63-2-101 et seq., Utah Code, when transmitting information with state provided IT resources.

(b) Report to agency management any computer security breaches, or the receipt of unauthorized or unintended information.

(4) While using state provided IT resources, an employee may not:

(a) Access private, protected or controlled records regardless of the electronic form without management authorization;

(b) Divulge or make known his/her own password(s) to another person;

(c) Distribute offensive, disparaging or harassing statements including those that might incite violence or that are based on race, national origin, sex, sexual orientation, age, disability or political or religious beliefs;

(d) Distribute information that describes or promotes the illegal use of weapons or devices including those associated with terrorist activities;

(e) View, transmit, retrieve, save, print or solicit sexually-oriented messages or images;

(f) Use state-provided IT resources to violate any local, state, or federal law;

(g) Use state-provided IT resources for commercial purposes, product advertisements or "for-profit" personal activity;

(h) Use state-provided IT resources for religious or political functions, including lobbying as defined according to Section 36-11-102, Utah Code, and rule R623-1;

(i) Represent oneself as someone else including either a fictional or real person;

(j) Knowingly or recklessly spread computer viruses, including acting in a way that effectively opens file types known to spread computer viruses particularly from unknown sources or from sources from which the file would not be reasonably expected to be connected with;

(k) Create and distribute or redistribute "junk" electronic communications, such as chain letters, advertisements, or unauthorized solicitations.

(5) Once agency management determines that an employee has violated this rule, they may impose disciplinary actions in accordance with the provisions of DHRM rule R477-11-1.

KEY: information technology resources, acceptable use

Date of Enactment or Last Substantive Amendment: June 8, 2004

Authorizing, and Implemented or Interpreted Law: 63F-1-206

SOFTWARE/HARDWARE ACQUISITION AND USE POLICY

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

PURPOSE: This policy defines the boundaries for the acquisition, management and use of DCC's electronic resources including software, hardware devices and network system. Hardware devices, software programs and network systems purchased and provided by DCC are to be used for creating, researching, and processing department/division related materials. By using State issued hardware, software and network system, employees assume personal responsibility for their appropriate use as defined in the Acceptable Use Policy, and agree to comply with this policy and other applicable departmental and State IT policies and procedures.

DCC has established a centralized IT equipment pool and funding to:

- Provide for a consolidated purchase and support of IT resources
- Establish a uniform/standard implementation and replacement cycle.

What will be purchased from the DCC Central IT Pool?

- Purchase of New desktop and/or laptop computers based on approved refresh cycle
- Replacement and upgrades to existing desktop and laptop computers (based on standard 3-4 year rotation cycle)
- Replacement and upgrade to Network based shared printers
- Replacement of items not covered under maintenance (monitors, hard drives, cd/dvd drives)
- Special technology projects that involve special hardware/software or consultant work as approved by the DCC IT Council
- General infrastructure, i.e., servers, switches, storage devices, projectors, etc.

What will not be purchased from the Central Pool?

- Maintenance of existing or new desktop equipment which exceed standard warranty
- Purchase of supplies (paper, toner, cd's, thumb drives)
- Purchase of additional peripheral equipment (mice, trackballs, keyboards, speakers, external storage devices, cell phones)
- Purchase of division specific software products (Adobe, Macromedia, design software etc) to meet the individual business objectives
- Hardware and software required for telecommuting (internet service, phone lines, software, computers)

Procedure for distribution of central funds:

Approximately one third (more if \$\$ allow) of each division desktop computers will be replaced each fiscal year for an estimated 3-4 year replacement cycle on all computers. Divisions will be allocated funding for replacement of computers based on the current WAN counts of the division divided by four and multiplied by the established cost for a new computer (1200.00). For example, a division with 60 WAN nodes will be allocated 15 desktop computers or \$18,000. These are very general guidelines and funds/equipment will be distributed as determined to be the most efficient allocation for the Department as a whole. The objective is to allow for equity in the distribution of funds and also flexibility in determining the needs of the department and divisions and maintain our equipment at an acceptable performance level for employees.

- Desktop computers will be replaced with laptop docking station environments when requested by a division. Costs associated with replacement will be as follows:

Central IT fund	\$1,200 (standard desktop replacement budget)
Requesting Division	\$1,000 + depending on the requested configuration

- Laptops are considerably more expensive to purchase and maintain than a desktop environment, but do create significant employee productivity gains. The additional cost of the laptop of environment will be the responsibility of the requesting division/program.
- All laptop computers purchased for the use of a single employee will be configured with a docking station environment and will replace the desktop computer assigned to the employee for efficiency and cost effectiveness.

Each year a distribution schedule will be developed that will identify the allocation of resources to each Division. Division Directors and the IT Director will work together to determine special projects (as prioritized by the IT Council) and allocation of funds to special technology related projects during the fiscal year.

Anytime during the year a Division Director may initiate a funding request by corresponding with the IT Director and identifying the division's needs. The IT Director may also identify additional opportunities to enhance the use of technology within a division.

Software

All software acquired for or on behalf of the State of Utah-DCC or developed by state employees or contract personnel on behalf of the State of Utah is deemed state property. All such software must be used in compliance with applicable licenses, notices, contracts, and agreements.

Purchasing

- All purchasing of software for the use of DCC employees shall be centralized with the DTS/DCC support team to ensure that all applications conform to State and DCC standards and are purchased following all applicable DTS and State Purchasing rules.
 - All requests for software purchase must be submitted using a Remedy Request. All requests must include budget authorization and ELCID codes for billing. The software request will be evaluated against standards for interoperability with existing systems, support requirements, and cost. Once the software is delivered, installation will be scheduled by the DTS/DCC support staff. All inventory and management of licenses will be handled by DTS.

Licensing

Each employee is individually responsible for reading, understanding, and following all applicable licenses, notices, contracts, and agreements for software that he or she uses or seeks to use on DCC computers. Unless otherwise provided in the applicable license, notice, contract, or agreement, any duplication of copyrighted software, except for backup and archival purposes, may be a violation of federal and state law.

Software standards

The following list shows the standard suite of software installed on DCC computers (excluding test computers) that is fully supported by the information technology department:

- Microsoft Windows XP
- Novell Groupwise
- Microsoft Office XP and Office 2003 (Access, Image Composer 1.5, Excel, Photo Editor 3.01, PowerPoint, Publisher, Word)
- Microsoft Internet Explorer 5.0 or above
- Adobe Acrobat Reader 8.0
- Laptops only: Dial-up ISP and State VPN access

Employees needing software other than those programs listed above must request such software from the DTS/DCC support team. Each request will be considered on a case-by-case basis in conjunction with the software-purchasing section of this policy and will be the financial responsibility of the requesting organization.

Hardware

All hardware devices acquired for or on behalf of DCC or developed by DCC employees or contract personnel on behalf of the company is and shall be deemed company property. All such hardware devices must be used in compliance with applicable licenses, notices, contracts, and agreements.

Purchasing

All purchasing of company computer hardware devices shall be centralized with the DTS/DCC support team to ensure that all equipment conforms to hardware standards and is purchased at the best possible price. All requests for DCC computing hardware devices must have manager approval prior to submitting the request. The request must then be sent to the DTS/DCC support staff via a Remedy Request, which will then determine standard hardware that best accommodates the desired request. Once the hardware is delivered, installation will be scheduled by the DTS/DCC support staff. All inventory and management of equipment will be handled by DTS.

Hardware standards

The following list shows the standard hardware configuration for DCC computers (excluding test computers) that are fully supported by DTS/DCC support team:

- Desktops
 - Desktops will be provided to employees who work primarily from the office.
 - 2.66 GHz Intel Core 2 Duo Processor Dual Core Technology
 - 2GB Dual Channel DDR2 Shared memory
 - ATI Radeon X1300 Pro 256MB Video graphics
 - 80 GB SATA 3.0 GHz and 8 MB DataBurst Cache
 - 24X CDRW/DVDRW combo drive with Cyberlink PowerDVD
 - 100/1000 PCI Ethernet card
 - 2 USB ports
 - Sound card
 - Speakers
 - Standard 102-key English keyboard
 - Wheel mouse
 - All applicable cables
 - Surge suppressor
- Laptops
 - Laptops will only be provided to employees required to frequently work away from the office and requesting division will be required to subsidize the cost difference from a desktop.
 - Intel Core 2 Duo T7700 (2.40 GHz) 4M L2 Cache, 800 MHz Dual Core
 - 2.0 GB DDR2-667 SDRAM
 - 128 MB NVIDIA Quadro NVS 135M
 - 120 GB Hard Drive – 5400 RPM
 - 24X CD-RW/DVD-RW with Cyberlink Power DVD
 - 100/1000 PCI Ethernet card
 - Wireless Lan (802.11)
 - Bluetooth
 - Sound card
 - Docking station
 - Speakers
 - Standard 102-key English keyboard

- Wheel mouse
- All applicable cables
- Surge suppressor

- Monitors
 - Monitors will be provided for both desktop and laptop systems.
 - 19-inch LCD Flat screen monitor

- Printers
 - Employees will be given access to appropriate network laser printers. In some limited cases where confidentiality requirements are identified, divisions may request purchasing approval for local desktop printers. Financial responsibility for these personal printers will remain with the requesting division. All maintenance and supplies for shared network laser printers in the Department will be the responsibility of the divisions. Quarterly use reports will be provided upon request to assist with the allocation of supply costs.

Employees needing computer hardware other than what is stated above must request such hardware from the DTS/DCC support team via a Remedy Request. Each request will be considered on a case-by-case basis in conjunction with the hardware-purchasing section of this policy.

Purchasing Technology with Division funds

Divisions may determine that through cost savings, there are additional funds available to purchase technology software or hardware. The division will work with the IT Director to identify the purchase specifications and DTS/DCC support staff will place the order. Purchased equipment inventory will be maintained by the DTS/DCC support staff. Upon receipt of the new equipment, installation, and inventory tracking will be scheduled with the division. All invoices for special equipment orders will be paid by DTS and the direct costs will be charged back to the requesting division.

Outside Equipment

No outside or personal equipment may be plugged into the State of Utah network due to high security risks. Wireless network access is available for visitors which provides direct access to the internet but does not allow secure login to the DCC network without the use of a VPN or secure encrypted access.

DCC PASSWORD/SECURITY POLICY

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

OVERVIEW: Passwords are an important aspect of computer security. They are the front line of protection for user accounts. A poorly chosen password may result in the compromise of the State of Utah's entire network. As such, all DCC employees (including contractors and vendors with access to DCC systems) are responsible for taking the appropriate steps, as outlined below, to select and secure their passwords.

PURPOSE: The purpose of this policy is to establish a standard for creation of strong passwords, the protection of those passwords, and the frequency of change.

SCOPE:

The scope of this policy includes all personnel who have or are responsible for an account (or any form of access that supports or requires a password) on any system that resides at any DCC facility, has access to the DCC network, or stores any non-public DCC information.

POLICY:

General:

- All system-level passwords (e.g., root, enable, Admin, application administration accounts etc.) must be changed on at least a quarterly basis.
- All production system-level passwords must be part of the administered global password management database (NDS).
- All user-level passwords (e.g., email, web, desktop computer, etc.) must be changed at least every six months. The recommended change interval is every four months.
- User accounts that have system-level privileges granted through group memberships or programs must have a unique password from all other accounts held by that user.
- Passwords must not be inserted into email messages or other forms of electronic communication.
- Where SNMP is used, the community strings must be defined as something other than the standard defaults of "public," "private" and "system" and must be different from the passwords used to login interactively. A keyed has must be used where available (e.g., SNMPv2).
- All user-level and system-level passwords must conform to the guidelines described below.

Guidelines:

- General Password Construction Guidelines
Passwords are used for various purposes at DCC. Some of the more common uses include: user level accounts, web accounts, email accounts, screen saver protection, voicemail password, and local router system logins. Since very few systems have support for one-time tokens (i.e., dynamic passwords which are only used once), everyone should be aware of how to select strong passwords.

- **Poor, weak passwords have the following characteristics:**
 - The password contains less than fifteen characters
 - The password is a word found in a dictionary (English or foreign)
 - Names of family, pets, friends, co-workers, fantasy characters, etc.
 - Computer terms and names, commands, sites, companies, hardware, software.
 - The words “DCC”, “sanjose”, “sanfran”, or any derivation.
 - The password is a common usage word such as:
 - * Birthdays and other personal information such as addresses and phone numbers.
 - * Word or number patterns like aaabbb, qwerty, zyxwvuts, 123321, etc.
 - * Any of the above spelled backwards
 - * Any of the above preceded or followed by a digit (e.g., secret1, 1secret)
- **Strong passwords have the following characteristics:**
 - Contain both upper and lower case characters (e.g., a-z, A-Z)
 - Have digits and punctuation characters as well as letters e.g., 0-9, !@#\$\$%^&*()_+~=\|}{“”‘’<>.,/?
 - Are at least fifteen alphanumeric characters long, minimum length is 8 characters, and is a passphrase (0hmy1stubbedmyt0e)
 - Are not a word in any language, slang, dialect, jargon, etc.
 - Are not based on personal information, names of family, etc.
 - Passwords should never be written down or stored on-line. Try to create passwords that can be easily remembered. One way to do this is create a password based on a song title, affirmation, or other phrase. For example, the phrase might be: “This May Be One Way to Remember” and then password could be: “Tmb1w2R!” or Tmb1W>r~” or some other variation. Note: Do not use either of these examples as passwords!

Password Protection Standards

Do not use the same password for DCC accounts as for other non-DCC access (e.g., personal ISP account, option trading, benefits, banking, etc). Where possible, don’t use the same password for various DCC access needs. For example, select one password for your network login and a separate password for email. Also select whenever possible separate passwords for Unix, Linux and Netware accounts.

Do not share your DCC passwords with anyone, including managers, administrative assistants, secretaries, co-workers etc. All passwords are to be treated as sensitive, Confidential DCC information. No one should have or be given password access to anyone's email account, except their own, without authorization from the Executive Director. A manager or employee may, for business reasons, grant access to their email through the extension of proxy rights or the use of shared GroupWise folders.

To accommodate management/supervision oversight, a manager/supervisor may request their employees provide them proxy access to their email account. Managers/Supervisor can also establish and use a shared common folder for business documents that need to be easily accessible to all members of their team. Both actions allow supervisor review of email and documents without the need for sharing passwords or creating the potential for unauthorized access. For safety reasons, proxy access should normally be granted for "read only" access. "Write access" allows the individual receiving proxy rights to potentially utilize them to compose, send out, or alter email posing as the owner of the account.

This issue should not be viewed as a matter of trust, rather it should be seen is a matter of employing good business security practices.

- Here is a list of “don’ts”:
 - Don’t reveal a password over the phone to ANYONE
 - Don’t reveal a password in an email message
 - Don’t reveal a password to the boss
 - Don’t talk about a password in front of others
 - Don’t hint at the format of a password (e.g., “my family name”)
 - Don’t reveal a password on questionnaires or security forms
 - Don’t share password with family members
 - Don’t reveal a password to co-workers while on vacation

If someone demands a password, refer them to this document or have them call someone in the DTS/DCC support team.

Do not use the “Remember password” feature of applications to make remembering easier

Again, do not write passwords down and store them anywhere in your office. Do not store passwords in a file on ANY computer system (including handhelds or similar devices) without encryption.

Change passwords at least once every six months (except system-level passwords which must be changed quarterly). The recommended change interval is every four months.

If an account or password is suspected to have been compromised, report the incident to the DTS/DCC support team and change all passwords immediately.

Password cracking or guessing may be performed on a periodic or random basis by DTS security personnel. If a password is guessed or cracked during one of these scans, the user will be required to change it.

Application Development Standards:

Application developers must ensure their programs contain the following security precautions.

- Applications:
 - Should support authentication of individual users, not groups.
 - Should not store passwords in clear text or in any easily reversible form.
 - Should provide for some sort of role management, such that one user can take over the functions of another without having to know the user’s password.

Use of Passwords and Passphrases for Remote Access Users

Access to the DCC networks via remote access is to be controlled using either a one-time password authentication or a public/private key system with a strong passphrase.

Passphrases

Passphrases are generally used for public/private key authentication. A public/private key system defines a mathematical relationship between the public key that is known by all, and the private key, that is known only to the user. Without the passphrase to “unlock” the private key, the user cannot gain access.

Passphrases are not the same as passwords. A passphrase is a longer version of a password and is, therefore, more secure. A passphrase is typically comprised of multiple words. Because of this, a passphrase is more secure against “dictionary attacks”.

A good passphrase is relatively long and contains a combination of upper and lowercase letters and numeric and punctuation characters. An example of a good passphrase:

“The*?#>*@TrafficOnThe101Was*&!#ThisMorning”

All of the rules above that apply to passwords apply to passphrases.

Enforcement:

Any employee found to have violated this policy may be subject to disciplinary action as identified in DHRM rule.

Terms

Application Administration Account

Definition

Any account that is for the administration of an application (e.g., Oracle database administrator, Network administrator, Groupwise administrator etc)

Definitions:

TELECOMMUTING

APPLIES TO: All DCC Employees

EFFECTIVE: MARCH 2008

Related Policy: *Alternative Work Schedules*

PURPOSE:

More than many departments of state government, the Department of Community and Culture requires its employees to personally interact with the public who seek our services. To that end, telecommuting is not encouraged.

PROCEDURE:

The executive director may approve telecommuting in exceptional circumstances, upon receipt of a division director approved telecommute contract and in accordance with state IT use and security policy.

Telecommute Contract

Department of Community and Culture

SECTION TO BE COMPLETED ELECTRONICALLY BY EMPLOYEE AND SIGNED ONCE SUPERVISOR HAS COMPLETED THE FOLLOWING SECTION:

Employee Name:

Position:

Division:

Dates of telecommuting contract:

Contract effective date:

Contract termination date:

Telecommuting schedule:

	TELECOMMUTE HOURS	OFFICE HOURS
Saturday		
Sunday		
Monday		
Tuesday		
Wednesday		
Thursday		
Friday		

Location and description of telecommuting worksite, including address:

Does your telecommuting worksite comply with the state IT use and security policy? []yes []no

If no, please explain:

List the specific equipment/software (including version) provided by your division that you will need to complete your assignments while telecommuting:

List the personal equipment you will use:

What are the specific assignments or duties to be completed while telecommuting?:

What benefits will your division derive from your telecommuting?:

How will those benefits be measured?:

EMPLOYEE ACKNOWLEDGEMENT

I have read and understand DCC's telecommuting policy and agree to the conditions therein. I acknowledge telecommuting is neither an employee right nor a benefit, and that my supervisor may terminate this agreement for any reason.

Employee Signature:

Date:

SECTION TO BE COMPLETED ELECTRONICALLY BY SUPERVISOR AND SIGNED ONCE SUPERVISOR HAS REVIEWED THE ENTIRE DOCUMENT WITH EMPLOYEE:

What specific assignments or duties are to be completed by employee while telecommuting?:

What benefits will the division derive from this employee telecommuting?

How do you expect the benefits to be measured?

Additional comments:

Management recommendation: ☐ Approved ☐ Denied

Supervisor Signature:

Date:

Division Director Signature:

Date:

cc: personnel file
finance officer

GLOSSARY OF TERMS

Additional information may be accessed at www.dhrm.utah.gov.

SCHEDULE AL	Appointed employees who work on time-limited projects for a maximum of two years, or on projects with time-limited funding.
SCHEDULE AJ	A non-career employee who is compensated for services on a seasonal, contractual, or temporary basis and who is hired for limited periods of time. AJ employees must meet one of the following criteria: a) AJ Part-Time – less than half time (for those 19 hour a week or less, who can work indefinitely); b) AJ Seasonal – half time or greater, (for those 20 hours a week or more, 9 months is equivalent to 1560 hours worked in any twelve (12) month period); or c) AJ Temporary – Maximum of 520 hours worked from start date in the same assignment and/or cost center. Employees designated as Schedule AJ are not eligible for employee benefits as a term or condition of employment.
SCHEDULE AD	Employees who report to the Department Director or Deputy Director, and have a confidential relationship with Department Director.
SCHEDULE B	A career service employee; an employee who has successfully completed a probationary period in a career service position.
EXEMPT	A career service exempt employee; an employee appointed to work for an unspecified period of time, or who serves at the pleasure of the appointing authority and may be separated from state employment at any time without just cause.
FLSA EXEMPT	An employee who is exempt from the overtime and minimum wage provisions of the federal Fair Labor Standards Act. An “FLSA Exempt Employee” is generally a person who is employed in an executive, administrative or professional capacity. (See 29 U.S.C. §213 of the FLSA.) The determination of this statutory exemption is made by the Utah Department of Human Resource Management based on whether the work performed by the employee meets the statutory criteria for an exemption.
FLSA NON-EXEMPT	An employee who is covered by the overtime and minimum wage provisions of the Fair Labor Standards Act.

